State of Washington
Department of Retirement Systems

Electronic Document Image
Management System

Request for Proposals
(RFP 99-36)
July 15, 1999

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1 INTRODUCTION & BACKGROUND

1.1 OVERVIEW – STATE OF WASHINGTON, DEPARTMENT OF RETIREMENT SYSTEMS (DRS)

The Washington State Department of Retirement Systems (DRS) is a state agency created by the 1976 Washington State Legislature. DRS currently administers the state's six public sector retirement systems with ten separate plans that have a combined total value of approximately $37 billion. The retirement systems and plans are Public Employees' Retirement System (PERS) Plan 1 and Plan 2; Teachers' Retirement System (TRS) Plan 1, Plan 2, and Plan 3; Law Enforcement Officers' and Fire Fighters' Retirement System (LEOFF) Plan 1 and Plan 2; the Washington State Patrol Retirement System (WSP); the Judicial Retirement System; and the Judges' Retirement Fund. All are defined benefit plans, with the exception of TRS Plan 3, which is a hybrid defined benefit/defined contribution plan.

TRS Plan 3 was created in 1995 by the Washington State Legislature. TRS Plan 3 is the State's first dual hybrid plan consisting of both defined benefit and defined contribution components. The legislation creating TRS Plan 3 also moved the administrative responsibility for the state's Deferred Compensation Program (DCP) to DRS. Then in 1998 the Legislature created another new defined contribution/defined benefit plan for classified school employees, the School Employees' Retirement System (SERS).

The purpose of DRS is to administer defined benefit/defined contribution pension plan coverage for state employees, teachers and classified educational employees, law enforcement officers and firefighters, and other employees of participating political subdivisions. Information necessary for administration of these benefits is transmitted to DRS by employers of retirement systems members. As of June 30, 1998, there were 1,235 covered employers participating in multiple systems and/or plans administered by DRS.

A majority of employers report electronically monthly compensation, contributions and hours for each of their eligible employees. DRS collects and stores this information and then grants the member service credit based on the number of hours worked. Active members continue to accrue benefits by virtue of employment in a position covered by one of the Washington retirement systems. Once the amount of their service credit meets the legislative requirements for retirement, members are eligible to retire and begin receiving a monthly benefit. Vested members who leave state service may either leave their contributions in the system and draw a benefit at a later date or withdraw them at the time of (or after) separation from service.

Retired members receive a benefit for life. Their benefit may continue after their death to a survivor or beneficiary. Whether the benefit continues is determined either by the benefit payment option chosen at retirement or by eligibility requirements defined in statute.

Although most employer reporting to DRS is automated, most of the documentation about active and retired members is contained in paper files. That information comes to DRS from members, their employers, spouses and other relatives, as well as courts and medical sources. Information is presented on forms, legal documents, handwritten notes, microfilm/fiche, and photocopies of other documents.

Processing and preserving this information involves the routing of a paper document, such as a member

enrollment form, to the Files Unit where a folder is created and a barcode label is created to track the file. The member file folder is then shelved in an end-tag numeric file system until it is needed for a transaction. When the folder is required, DRS staff must then log onto the Files Tracking System via a mainframe application and order the file by Social Security number. Paper transmittal slips showing the requester's name and location are produced and affixed to the file folders. The folders are then placed in a pickup bin for the courier to deliver to the requester. The member file is then routed person to person until everyone who may have an interest in it is able to access it. Paper documents coming into the department act as triggers for staff to process a multitude of different transactions on DRS's online (mainframe) applications.

During the past several years, DRS has systematically consolidated and engineered its business systems to better support growing business needs. During the planning for this reengineering effort, risks associated with paper documents and the potential benefits of imaging and automated workflow on Agency operations were identified. Estimates by the Washington State Office of the State Actuary indicate a substantial increase in workloads in members requesting retirement and a growing need to access documents within the member folders, as retirement levels are predicted to increase significantly in the next decade.

The nature of public pension plans requires DRS to retain the majority of its member files for a maximum retention period of 75 years or longer. There is no way to predict in advance which documents will be needed for an extended period, thus all are kept for the maximum retention period. Currently, all of these documents are maintained in a paper file system with no means of backup.

See **Appendix J – Agency Facts and Figures Summary** for parameters to be considered in responding to this Request for Proposal (RFP).

1.2   OBJECTIVES

The objective of this Request for Proposal (RFP) is to procure an Electronic Document Imaging Management System (EDIMS) for the Washington State Department of Retirement Systems (DRS). The Agency will be implementing a system with hardware and software that stores, retrieves, and manages documents and folders to support its business processes. The intent is to reduce the reliance on paper flow within the Agency for business information, which is currently contained and managed solely in the form of paper documents. The project will also provide automated workflow to support the current desktop processes and procedures. This project will enable DRS to reduce Agency reliance on paper and most importantly enable the staff to provide improved customer service. The primary purpose of the EDIMS system will be to manage the images required to support business processes in all areas of DRS. The objectives for this system include:

- Enable the staff to improve quality and timeliness of customer services.
- Reduce reliance on paper flow for the large volume of business information.
- Manage projected increases in customer volumes and services.
- Provide for improved disaster recovery and safety of mission-critical documents through electronic storage.

- Facilitate providing new customer services (e.g., Web-enable imaging and document management).
- Streamline DRS processes through imaging, document management, and workflow.

1.3 PROJECT OVERVIEW

It is DRS's intent that this RFP will culminate in a contract, provided DRS identifies an Apparent Successful Vendor that best matches the criteria and other conditions as specified within the RFP.

The project is divided into phases with the vision of:
- Planning and designing a responsive document management system and work-flow application
- Developing and implementing the system using general-to-specific requirements and deliverables.

DRS desires its EDIMS and work-flow application design to have the ability to change work-flow requirements in response to:
- customer requests, and
- business-process redesign opportunities.

Used thoughtfully in partnership with the vendor, this project approach can lead to improved product quality, reduced re-work development time, and more focused development efforts on EDIMS basic and customized work-flow deliverables.

Purpose of Phased Project Approach

- Reduce the risk of premature designs based on business/end-user requirements that come prior to having a true "vision" of what imaging / document management is capable of doing for them.
- Reduce the risk of delivering functionality that the business/end-user doesn't want, avoiding time-consuming re-work.
- Provide highly visible signs of progress to the business/end-user and a high degree of flexibility in responding to feedback (with balanced control).
- Provide highly visible signs of progress for work-flow software modeling and programming by delivering incremental and successful work-flow functionality.
- Support more frequent updating and functionality enhancements.
- Reduce the risk of integration problems by integrating early and often.
- Improve morale because the project is seen as a success from the first time the system is rolled out.

With the above in mind, the contract for EDIMS shall include:
- A project "best practices" approach, including proof-of-concept and pilot deliverables.
- Software.
- Professional services necessary to implement this system and application(s).

Specific hardware that requires integration / interfacing by the selected vendor may also be provided by the vendor and potentially by DRS (e.g., Lucent telephone system). DRS shall place heavy emphasis on the methods of systems integration and the level of interoperability that can be provided.

EDIMS will include the following capabilities:

- New document capture, indexing, and quality control
- Document image retrieval via indexes or full-text search
- User-selected and automated document image file routing
- Image, word processing, interactive voice response (IVR), video, fax, E-mail, and data integration, including accessing a Software AG ADABAS database that resides on an IBM 390 MVS mainframe system
- On-demand printing of digitized images
- Document processing statistics and reports
- Storage of digitized images, fax, E-mail, and other electronic documents on magnetic and optical disk
- Capability for rewritable optical disk hardware/software
- Optical character recognition/intelligent character recognition (OCR/ICR) functionality
- Computer output to laser disc/ Enterprise report management (COLD/ERM)
- Real-time communication between an IBM 390 MVS mainframe, using a WAN/LAN network and the imaging system with the ability to inquire and pass information in both directions.
- Image-enabling the host applications using application programming interface (API)
- The use of queues to manage work
- Ability to fax in/fax out
- Barcode recognition
- Forms processing
- Web-enabled processing
- Document management
- Records management (i.e., retention, archiving, etc.)
- Report data retrieval via indexes or full-text search
- Security features
- Backup and recovery features

DRS expects to manage the project in phases as described in the following general terms:
Phase 1:
Develop a pilot with the following functionality:
- Scanning, indexing, retrieval and quality control for incoming documents for the pilot unit(s)
- Just-in-time conversion of files for the unit(s)
- Workflows for selected processes in the pilot units
- Image retrieval display, and manipulation
- Magnetic storage and optical storage
- Integration with legacy systems
- Web-enabled processing
- Further definition of business requirements

Phase 2:
- Provide basic imaging/workflow agency-wide
- Scanning, indexing, and quality control for incoming documents for entire Agency
- Basic workflow (i.e., work queue oriented workflow)
- Continued refinement of business requirements for workflows

Phases 3 through X:
- Develop and implement customized workflows for the entire Agency:
  - Reengineering of workflows as preliminary work for customization
  - Membership enrollments, Deferred Compensation and Dependent Care Programs work processes
  - Retirement estimates, calculations, recalculations, withdrawals, and restore work processes
  - Disabilities, deaths (active and retired), retiree adjustments, and member accounts receivable work processes
  - Employer accounts receivable, transmittals, purchasing, accounts payable, and payroll-personnel work processes

The order of customization may not strictly follow the above list.

Phases 2 and 3 (and any subsequent phases) are contingent on successful completion of Phase 1 (pilot). Proposals should be for all phases.

1.4   RFP ADMINISTRATIVE PROCESS

1.4.1   SCHEDULE OF CONTRACT EVENTS

1. RFP Release .... July 15, 1999
2. Deadline for Vendor Questions .... July 29, 1999
3. Mandatory Vendor Pre-bid Conference .... July 29, 1999
4. Response to Vendor Questions .... August 3, 1999
5. Bid Submission Deadline .... August 16, 1999
6. Bid Opening Date and Time .... August 17, 1999
7. Selection of Vendors Qualified for Demonstration Phase .... August 27, 1999
8. Functional Demonstrations (Proof of Concept) .... Sept. 13, 20, 27, 1999
9. Completion of Demonstrations .... October 1, 1999
10. Selection of Apparent Successful Vendor .... October 7, 1999
11. Announce Apparent Successful Vendor .... October 8, 1999
12. Deadline for Requesting Debriefing Conference .... October 13, 1999
13. Deadline Date for Beginning of Contract Negotiations .... October 18, 1999
14. Completion of Vendor Debriefing Conferences .... October 20, 1999
15. Deadline for Written Protests .... October 25, 1999
16. Completion of Contract Negotiations .... November 5, 1999
17. OFM Contract Approval .... November 19, 1999
18. Pilot Begins/Ends .... Nov. 22, 1999 – Jan 31, 2000
19. Proceed to Phase 2 (Contingent on Successful Pilot) .... February 1, 2000

1.4.2   **RFP COORDINATOR**

Vendors may submit questions in writing concerning the intent or clarity of this RFP to the RFP Coordinator, Jim Gunn, at the address below. Unauthorized contact regarding the RFP with other state employees may result in disqualification of the vendor. Any oral communications will be considered unofficial and non-binding. Vendors should rely only on written statements issued by the RFP Coordinator.

Mail: Jim Gunn, RFP Coordinator
                             Washington State Department of Retirement Systems
                             P.O. Box 48380
                             Olympia, WA 98504-8380

Hand Delivered: Jim Gunn, RFP Coordinator
                             Washington State Department of Retirement Systems
                             6835 Capitol Boulevard
                             Tumwater, WA 98501

        Telephone: 360-664-7264
        FAX: 360- 753-5397
        E-Mail: JIMG@DRS.WA.GOV

1.4.3 **ACQUISITION AUTHORITY**

The issuance of this RFP has been approved by DRS and the Department of Information Services (DIS).

DRS issues this RFP under Chapter 43.105 of the Revised Code of Washington (RCW). This RFP complies with the policies and procedures of DIS and the Information Services Board (ISB). The RCW Chapter 43.105 as amended establishes the Washington Information Services Board (ISB). While the ISB does not purchase for agencies, it regulates the manner in which state agencies may acquire information technology equipment, software and services. The ISB publishes policies and standards that determine when goods and services must be competitively acquired.

The ISB has delegated its purchasing approval authority to the Director of DIS.

This RFP complies with the policies and procedures of the Office of Financial Management (OFM). Any personal services contracts that result from this RFP will be filed with OFM as required under the provisions of Chapter 39.29 RCW. No contract required to be so filed is effective and no work thereunder shall be commenced nor payment made therefor until ten (10) working days following the date of filing, and, if required, until approved by OFM. In the event OFM fails to approve the contract, the contract shall be null and void.

Any contract awarded as a result of this procurement is contingent upon the continued availability of state Agency funding.

1.4.4 ACQUISITION FUNDING AND EXPENDITURE LIMIT

Funds to purchase identified products and services specified for this acquisition are approved and are within the Agency's delegated authority.

1.5 VENDOR REQUIREMENTS

1.5.1 VENDOR RESPONSIBILITIES

The prime contractor (referred to as "vendor" within the text of this RFP) shall assume full responsibility for delivery of all products and services provided under this contract. **Further, DRS shall consider the selected vendor to be the sole point of contact regarding contractual matters**. All use of subcontractors and/or third party vendors shall be specifically identified in the vendor's proposal and the prime contractor (vendor) shall describe the type of contractual arrangement that shall exist with all subcontractors and/or third party vendors. The name and address of subcontractors and third party vendors, if any, shall be included in the proposal, along with a statement of what equipment or software the subcontractor(s) and/or third party vendor(s) will supply.

Use of subcontractors and/or third party vendors does not relieve the vendor of sole responsibility for performance under the contract. The vendor shall be responsible for meeting all of the terms and conditions resulting from this RFP. If at anytime the subcontractors and/or third party vendors of the vendor change, the vendor shall notify DRS in writing prior to making the change.

1.5.2 VENDOR REGISTRATION

Vendors shall provide their Federal employer ID number to DRS. Vendors are each responsible for complying with all statutory provisions applicable to doing business in the State of Washington, and with Washington State agencies.

Vendors shall provide descriptions of their organization, which shall include:
- business name
- business address of the location or locations that would service this contract
- telephone, fax number(s) and email address for the location(s) that would service this contract
- a single point of contact at each location (including name and title)
- type of organization (corporation, partnership, etc.)
- length of time (rounded to the nearest year) that the organization has been in the information services business
- year the organization was established
- names of the principal officers
- the scope of services that are offered

The same information shall be provided for each subcontractor. In addition, the response shall include the length of time you have been affiliated with the subcontractor organization. This response shall be provided in Volume 1 (see Section 1.6.11, "Proposed Presentation and Format").

DRS has the option of contacting the Better Business Bureau and additional industry sources to confirm good business practices and use the information as part of the evaluation.

1.5.3 STATE RETIREMENT SYSTEMS EXPERIENCE

Vendors shall be required to state their experience as it relates to the requirements specifications that are described within this RFP. DRS prefers that the vendor have a minimum of two years documented experience (from the date of the issuance of this RFP) of installing and servicing systems that are designed for retirement systems administering defined benefits plans. If the vendor is not functioning as the Systems Integrator for this proposal, the Systems Integrator should also have a minimum of two years documented successful experience installing, implementing and servicing systems that are designed for retirement systems administering defined benefits. DRS will award additional points to vendors having this experience.

1.5.4 DRUG FREE WORKPLACE

Vendors shall advise their IT professionals that they will be working in a weapon-, drug-, alcohol-, and smoke-free work place.

1.6 PROPOSAL

1.6.1 GENERAL PROPOSAL INFORMATION

The vendor shall submit a separate proposal for each bid submitted. All proposals shall have an original signature by an authorized representative of the company. All proposals shall be clearly labeled. The vendor's proposal, in its entirety, shall be submitted to the Department of Retirement Systems office prior to the date and time of the bid opening specified in the Schedule of Contract Events (Section 1.4.1). Proposals arriving after the deadline will not be evaluated. All proposals and accompanying documentation will become the property of DRS.

Vendors assume the risk of the method of dispatch chosen. DRS assumes no responsibility for delays caused by any delivery service. Postmarking by the due date will not substitute for actual proposal receipt. Late proposals will not be accepted nor will additional time be granted to any vendor. Do not deliver proposals by facsimile transmission or other telecommunication or electronic means.

1.6.2 PUBLIC RECORD

All bids, proposals, or offers submitted by vendors shall become public information and are available for inspection during normal business hours. All public information may be released in accordance with RCW 42.17. The only exceptions to disclosure of information are listed in the Revised Code of Washington. (See Section 1.6.3 regarding proprietary information.) Primarily, trade secrets submitted by a vendor are the only exceptions to public disclosure by DRS. The submission of any information to DRS by a vendor puts the risk of disclosure on the vendor.

1.6.3 PROPRIETARY INFORMATION NOT FOR PUBLIC DISCLOSURE

Any proprietary information contained in the proposal must be clearly and conspicuously designated as "PROPRIETARY" at the lower right corner of the section. Marking the entire proposal as proprietary will be neither accepted nor honored. If a request is made to view a vendor's proposal, DRS will comply with RCW TITLE 42 PUBLIC OFFICERS AND AGENCIES, DISCLOSURE--CAMPAIGN FINANCES--LOBBYING--RECORDS, RCW 42.17.250 through 42.17.348. If any information is marked as proprietary in the proposal, such information will not be made available until the affected vendor has been given an opportunity to seek a court injunction against the requested disclosure.

Vendor should identify clearly (as "CONFIDENTIAL") any materials which constitute "(valuable) formulae, designs, drawings, and research data" exempt from public disclosure under RCW 42.17.310, or any materials otherwise claimed to be exempt, along with a statement of the basis for such claim of exemption. The State's sole responsibility shall be limited to maintaining the above data in a secure area and to notify vendor of any request(s) for disclosure within a period of five (5) years from date of contract award under this RFP. Failure to so label such materials or failure to timely respond after notice of request for public disclosure has been given shall be deemed a waiver by the vendor of any claim that such materials are, in fact, so exempt.

DRS currently has Gartner Group/Decision Drivers, Inc., under contract to assist with the development and evaluation of this RFP and resulting contract. Their employees will have access to all information submitted in response to this RFP.

1.6.4 NON-ENDORSEMENT

As a result of the selection of a vendor to supply products and/or services to DRS, DRS is neither endorsing the vendor's product nor suggesting that the vendor's product is the best or only solution. The vendor agrees to make no reference to DRS in any literature, promotional material, brochures, sales presentation or the like without prior written consent of DRS.

1.6.5 PROPOSAL AND DEMONSTRATION EXPENSES

DRS is not liable for any expense incurred in the preparation, delivery or presentation of proposals or the onsite demonstration in response to this RFP.

1.6.6 NO OBLIGATION TO BUY

DRS reserves the right to refrain from contracting with any vendor. The release of this RFP does not compel DRS to purchase.

1.6.7 ERRORS IN THE PROPOSALS

DRS shall not be liable for any errors in vendor proposals. Vendors will not be allowed to alter proposal documents after the deadline for proposal submission.

DRS reserves the right to make corrections or amendments due to errors identified in proposals by the Agency or the vendor. This type of correction or amendment will only be allowed for such errors as typing, transposition, or any other obvious error. Any changes will be date and time stamped and attached to proposals. All changes must be coordinated in writing with, authorized by, and made by the RFP Coordinator. Vendors are liable for all errors or omissions contained in their proposals.

1.6.8 RELEASE OF RFP

This RFP is being issued by the Department of Retirement Systems. Copies of the RFP may be obtained from Jim Gunn, RFP Coordinator, at the address listed previously or phone (360) 664-7266, FAX (360) 753-5397. Copies will be sent by U.S. Mail, e-mail, or may be picked up in person by the vendor. Copies will not be faxed to respondents.

1.6.9 VENDOR INQUIRIES REGARDING SPECIFICATIONS

DRS will consider vendor inquiries regarding any requirements before the deadline for all vendor inquiries. All inquiries must be in writing and submitted to the RFP Coordinator by the date specified in the Schedule of Contract Events (Section 1.4.1). DRS reserves the right to modify requirements should a vendor inquiry identify a change that is in the best interest of DRS.

1.6.10 CONSIDERATION OF MINORITY AND WOMEN BUSINESS ENTERPRISES

In accordance with legislative findings and policies set forth in Chapter 39.19 RCW the State of Washington encourages participation in all of its contracts by minority and women-owned firms certified by the Office of Minority and Women's Business Enterprises (OMWBE). Participation may be either on a direct basis in response to this solicitation or as a subcontractor to a bidder. However, no preference will be included in the evaluation of bids, no minimum level of MWBE participation shall be required as a condition for receiving an award, and bids will not be rejected or considered non-responsive on that basis.

1.6.11 PROPOSAL PRESENTATION AND FORMAT

A vendor's electronic document imaging management system proposal shall be organized and presented in two volumes as described below (a checklist of these items is also provided for your convenience in Appendix I):

I. VOLUME 1 – Technical Proposal
A. Introduction
1. A cover letter signed by the vendor's representative authorized to make contractual obligations. The letter shall include acceptance of all the terms and conditions stated in the RFP.
2. Table of Contents
3. Executive summary presenting a high level overview of your approach and the distinguishing characteristics of your proposal.
4. Vendor registration information (Section 1.5.2).
5. State retirement systems experience (Section 1.5.3).
6. Subcontractor and third party vendor information, including:
   - Names and addresses.
   - Statement of what equipment or software that they will be supplying.
   - Description of type of contractual arrangement that shall exist with the subcontractor
7. Overview of Proposed Application including hardware and software.
8. Proposal Certification (Section 1.9.10). (Use Certifications and Assurances Form, Appendix F.)
9. State of Washington: Year 2000 Protection and Warranty Language (Section 2.11). (Use form in Appendix C.)
10. Addenda may be used by the vendor to present information of importance not otherwise provided for in the required proposal format.

B. Proposed Configuration(s)
1. The vendor must provide an itemized list and diagram of all proposed hardware and software.
2. The vendor must provide a technical description of each hardware and software item proposed.

C. Responses to Technical Requirements – Imaging and Workflow Functionality (Section 3)

D. Responses to Technical Requirements – System Architecture and Platforms (Section 4)

E. Responses to Services and Support Requirements (Section 5)

F. Responses to GartnerGroup Decision Driver Evaluation (Addendum A)

    G. Responses to Pilot Requirements (Appendix A)

    H. Responses to Backfile Conversion Requirements – Optional (Appendix B)

    I. Supplemental Material
    The vendor may submit materials such as reference manuals, brochures, articles, specifications, report samples, and the like which may be helpful, subject to the following limitations:

- Such supplemental materials will not qualify as substitutes for direct responses to the RFP's requirements.
- Supplemental materials must not be combined with a required component of the proposal (included in a proposal binder, for example).
- In responding to the Vendor Information section (Volume 2), vendor may provide supporting material for reference. Supplemental material may not substitute for specific responses to requirements.
- The Cost Proposal (Volume 2) may not make reference to supplemental materials. Note that any supplemental materials submitted will have no effect on the independent evaluation process. Such materials will in fact be withheld from the evaluators until the evaluation, scoring and selection of the Apparently Successful Vendor has been completed.

    II.   VOLUME 2: Financial and Cost Proposal
    A. Responses to Vendor Information and Financial Responsibility (Section 6)

    B. Responses to Cost Proposal (Section 7)
    Use Cost Worksheet in Appendix G to itemize and summarize the cost figures. List additional fees, if any, for Desired options (D) so the Agency can select which options it wants to include.

    Any vendor proposal that does not follow this format may be deemed non-responsive and rejected on that basis.

1.7 PROPOSAL SUBMISSION

1.7.1 DRS CONTACT

A complete copy of the original signed bid (with separate technical and cost proposals) shall be submitted to:

Mail: Jim Gunn, RFP Coordinator
                    Washington State Department of Retirement Systems
                    P.O. Box 48380
                    Olympia, WA 98504-8380

Hand Delivered: Jim Gunn, RFP Coordinator
                      Washington State Department of Retirement Systems
                      6835 Capitol Boulevard
                      Tumwater, WA 98501

1.7.2 **PROPOSAL PREPARATION**

Proposals are to be provided on standard 8 ½" x 11" paper. Foldouts containing charts, spread sheets, and oversize exhibits are permissible. The pages should be placed in a binder with tabs separating the major sections of the proposal. Manuals and other reference documentation may be bound separately. All responses, as well as any reference material presented, must be written in English.

Each proposal shall include a complete response to Parts 1 through 6 and Addendum A of the RFP. The RFP is functioning as a proposal, checklist and response form.

Proposals must respond to the RFP requirements by restating the number and text of the requirement in sequence and writing the response immediately after the requirement statement. If responses to the requirements in Sections 3 and 4 of the RFP include cross-references to vendor technical specification manuals (not sales brochures), the cross-references must refer to a specific page and paragraph. Cross-referencing an entire chapter or section consisting of numerous pages is not acceptable. If a vendor's cross-referencing techniques are inadequate, the vendor runs the risk of failing a mandatory requirement.

Figures and tables must be numbered and referenced in the text by the corresponding numbers. Figures and tables should always be placed as close as possible to the referencing text. Pages must be numbered consecutively within each section of the proposal showing proposal section number and page number.

Proposals shall be based only on the material contained in this RFP. The RFP shall include all subsequently issued official responses to pre-bid conference questions, amendments, addenda, and other final written material published by DRS pursuant to the RFP. The vendor is to disregard any previous draft material and any oral representations it may have received.

All responses to the requirements in Sections 3 and 4 of this RFP must clearly state whether the proposed system will satisfy the referenced requirements, and the manner in which the requirement will be satisfied. Responses can include but are not limited to cross-references to specific sections in the vendor technical specification manuals (not sales brochures). Each proposal must include all referenced manuals. Vendors must identify any restrictions in concurrent use of proposed hardware and software.

Vendors shall clearly indicate if customization is necessary to meet a mandatory requirement or desirable specification. The cost of this customization shall be itemized in the Cost Worksheet. If customization is necessary, the vendor shall provide an explanation that details the extent of the customization.

1.7.3 ADDITIONAL PROPOSAL COPIES

The vendor shall provide ten (10) paper copies of their complete proposal for use in the evaluation process. Technical manuals may be included as necessary.

Vendor shall provide one (1) electronic copy of the proposal on 3 ½" diskette in MS Word format. If there are discrepancies between the electronic and paper copy, the paper copy shall prevail. These copies shall be sent to the Department of Retirement Systems at the address listed previously.

These copies are in addition to the one (1) original paper proposal.

The vendor shall be required to provide only one copy of professionally printed materials such as Training Manuals, System Manuals, and publicity information. The Evaluation Committee may request additional copies as needed later.

1.7.4 MULTIPLE PROPOSALS

Vendors interested in submitting more than one proposal may do so, provided each proposal stands alone and independently complies with the instructions, conditions, and specifications of the RFP.

1.7.5 WAIVER OF MINOR ADMINISTRATIVE DISCREPANCIES

DRS reserves the right, at its sole discretion, to waive minor administrative irregularities contained in any proposal.

1.7.6 SINGLE RESPONSE

A single response (i.e., a proposal from only one vendor) to the RFP may, at the sole discretion of DRS, be deemed a failure of competition and DRS may cancel the RFP on that basis. DRS reserves the option to award a contract in the event a single response to the RFP is received.

1.7.7 PROPOSAL REJECTION

Before execution of a contract, DRS reserves the right to reject any or all proposals at any time without penalty.

1.7.8 WITHDRAWAL OF PROPOSAL

Vendors may withdraw a proposal that has been submitted at any time up to the proposal closing date and time. To accomplish this, a written request signed by an authorized representative of the vendor must be submitted to the RFP Coordinator. After withdrawing a previously submitted proposal, the vendor may submit another proposal at any time up to the proposal closing date and time.

1.7.9 RESPONSE - PROPERTY OF DRS

All materials submitted in response to this request become the property of DRS. Selection or rejection of a response does not affect this right.

1.7.10 NECESSARY ANCILLARY EQUIPMENT AND SOFTWARE

Unless specifically excepted by the terms of the RFP, all parts, software, or accessories (i.e. cables, power converters, display devices) ordinarily furnished or required to make the proposed equipment a complete operating unit shall be furnished by the vendor and included in the Cost Proposal. Major components of equipment or software should be itemized with the corresponding cost. See Cost Worksheet, Appendix G, for suggested component breakout.

1.7.11 AGENCY RESERVATION OF RIGHT TO EQUIVALENT EVALUATION COMPARISON

DRS may, at its sole discretion, select or reject individual items of services, equipment and/or software proposed by the vendor. As part of the evaluation process, DRS may find it necessary to add or delete services, hardware, and/or software from the vendor's proposal to make equivalent evaluation comparisons.

1.7.12 CONDITION OF PROPOSED EQUIPMENT

All equipment proposed must be new equipment or refurbished. Refurbished equipment must be clearly designated as such, and warranted as new equipment.

1.7.13 CONFIGURATION ADJUSTMENT WITH CONTRACT

The Agency reserves the right to select and exclude any equipment, software, or services for the actual acquisition regardless of the configuration proposed by the vendor. The vendor will be consulted on any such adjustments whenever it is determined that the configuration adjustment may adversely impact the system performance.

1.7.14 BID SUBMISSION DEADLINE AND BID OPENING DATE AND TIME

All vendor proposals shall be received by DRS as explained above, not later than 4:30 p.m. Pacific Daylight Time on August 16, 1999. Bid opening will occur at DRS on August 17, 1999.

1.7.15 MANDATORY VENDOR PRE-BID CONFERENCE

A mandatory vendor pre-bid conference will be held on July 29, 1999, at 9:00 a.m. at DRS, 6835 Capitol Boulevard, Tumwater, WA, in the Boardroom. Each vendor may send a maximum of two representatives to the conference. Specific questions concerning the RFP should be submitted in writing, e-mail or by FAX no later than July 28, 1999, so Agency representatives may prepare responses in advance of the conference. Questions may also be submitted at the conference.

Copies of all written questions and Agency responses will be mailed to all vendors who attend the conference. Only the written responses will be considered official.

Failure to attend the mandatory pre-bid conference is considered grounds for disqualification.

NOTE: Directions for the location of the pre-bid conference are attached as Appendix H.

1.7.16 **RFP AMENDMENTS**

DRS reserves the right to change the Schedule of Contract Events or issue amendments to the RFP at any time. DRS also reserves the right to cancel or reissue the RFP.

1.7.17 **RESPONSE TO VENDOR QUESTIONS**

Specific questions concerning the RFP should be submitted in writing by the deadline for written inquiries so that Agency representatives may prepare responses in advance of the mandatory pre-bid conference. DRS will attempt, during the pre-bid conference, to respond orally to all questions submitted by the deadline. Additionally, the Agency will attempt to respond to questions from the floor at the pre-bid conference. After the pre-bid conference, official written responses to all questions and any required amendments to the RFP will be issued. Vendors should note that the only official and binding response is the written response to questions. All vendors who attend the mandatory pre-bid conference will be issued any addenda and receive a copy of the Answers to Vendor Questions.

1.8 **EVALUATION OF VENDOR PROPOSALS**

An Evaluation Committee made up of representatives from the Department of Retirement Systems and other state personnel will be assembled to review the proposals. DRS reserves the right to contact vendors during the evaluation process for the purpose of clarification, if necessary.

The evaluation criteria reflect a wide range of considerations. While purchase price is important, other factors are equally significant. Careful selection among the variety of products available depends on assessment of features, their design, their impact on State staff and numerous additional qualitative and quantitative considerations. Consequently, the State may not select the lowest cost solution. The objective is to choose a reliable and experienced vendor capable of providing an effective solution within a reasonable budget and timeframe.

Additional information about the evaluation and selection process will be provided to vendors at the mandatory vendor conference. However, DRS has elected not to disclose the overall points by section and the weighting of individual elements of the sections. A copy of the detailed score sheet with weightings that will be used in the evaluation process will be provided to the

Management and Oversight of Strategic Technologies Division of the Department of Information Services, an objective oversight entity, prior to the opening of vendor responses.

The proposal will be evaluated using the following criteria based on their weight or importance:

- Functionality: The ability of the proposed system to meet or exceed the mandatory requirements stated in this RFP. This includes the imaging, workflow, and technical architecture elements of the proposed system.
- Service & Support: The ability of the vendor to provide professional services and support the product during and after its implementation.
- Vendor Viability and Vision: The financial stability and viability of the vendor and the product. The vendor will also need to demonstrate a viable vision of the future of the company and product.
- Cost: The cost of the proposed system will be evaluated based on initial hardware and software purchase costs, professional services, and on-going maintenance costs.

GartnerGroup, Inc., has been selected by DRS to assist in the evaluation of the proposed system using its Decision Drivers service.

1.8.1 TECHNICAL REQUIREMENTS EVALUATION

Each proposal will be reviewed for compliance with mandatory requirements. If it is determined that a mandatory requirement has not been met, the vendor will be disqualified.

Proof-of-Concept (POC): An onsite demonstration shall be required as outlined in Section 1.8.3. Qualifying vendors will receive a minimum 2-week notice of the scheduled date. The demonstration will be scored as part of the Technical Evaluation.

Vendors must complete the GartnerGroup Decision Drivers Evaluation to provide additional data for this evaluation process (Addendum A).

1.8.2 FINANCIAL AND COST PROPOSAL EVALUATION

After the Technical Evaluation, the Evaluation Committee will consider the Financial and Cost Proposals for each proposal meeting all mandatory requirements.

Any Financial or Cost Proposal that is incomplete, in which there are significant inconsistencies or inaccuracies, or that does not comply with the requirements for cost proposal submission contained in this RFP may be rejected.

The Financial and Cost Proposal will be evaluated to determine its compliance with the instructions to vendors set forth in this RFP. The Financial and Cost Proposals will be examined to determine if they are consistent with the requirements for Financial and Cost Proposals and that the calculations are accurate. If any variance in prices between the summary costs and detailed costs is found, the detailed pricing shall prevail.

1.8.3 FUNCTIONAL PROOF-OF-CONCEPT (POC)

The top three (3) vendor finalists based on evaluation of their proposals shall provide a functional demonstration of the hardware and software proposed in their response. The demonstration will be held at the Agency site using the proposed system in DRS's test environment.

The demonstration by each vendor finalist will be scheduled during normal working hours (8:00 a.m. to 5:00 p.m.), unless a different time is agreed to in advance by DRS and the vendor.

1.9 AWARD OF CONTRACT

1.9.1 AWARD NOTIFICATION

1.9.2 APPARENT SUCCESSFUL VENDOR

This RFP does not obligate the state of Washington or DRS to contract for service(s) specified herein.

DRS reserves the right to award the contract not necessarily to the vendor of the least cost, but rather to the vendor with the best combination of attributes based on the evaluation criteria.

The Director of DRS or his/her delegate in writing are the only individuals who may legally commit DRS to the expenditures of funds for a contract resulting from this RFP. No cost chargeable to the proposed contract may be incurred before receipt of a fully executed contract.

The DRS Evaluation Committee will notify the vendor of their evaluation and selection. Following approval of the evaluation, DRS shall begin contract negotiations with the Apparent Successful Vendor.

DRS reserves the right to make an award without further discussion of the proposal submitted. There will be no best and final offer procedure. Therefore, the proposal should be submitted on the most favorable terms that the vendor can offer. It is understood that the proposal will become a part of the official file on this matter without obligation to DRS.

1.9.3 DEBRIEFING CONFERENCES

Vendors who submitted a proposal that was not selected will be given the opportunity for a debriefing conference. The request for a debriefing conference must be received by the RFP coordinator within five (5) business days after notification of the Apparent Successful Vendor. The debriefing must be held within five (5) business days of the request.

Discussion will be limited to a critique of the requesting vendor's proposal. Comparisons between proposals or evaluations of other proposals will not be allowed. Debriefing conferences may be conducted in person or on the telephone and will be scheduled for a maximum of one hour.

1.9.4 **PROTEST PROCEDURE**

A protest procedure is available to vendors who respond to this RFP and who request a debriefing conference. Protests that do not follow the procedure shall not be considered. See Appendix L, "Protest Procedure," for specifics about the procedure.

1.9.5 **RFP AND RESPONSE INCLUDED IN CONTRACT**

The general conditions and specifications of the RFP and the successful vendor's response will become part of the contract by reference only.

1.9.6 **CONTRACT SIGNING FOR DRS CONTRACT NEGOTIATIONS**

The award of this contract is subject to the successful negotiation of terms and conditions. If mutually agreeable terms cannot be reached within ten working days from the start of contract negotiations, DRS reserves the right to cease negotiations. DRS shall then have the option of starting contract negotiations with the next vendor who has received the highest score. The vendor shall attach a copy of any additional terms and conditions they wish to offer. The RFP and the vendor's proposal shall become part of the contract by reference only.

The Apparent Successful Vendor will be expected to enter into a contract with DRS that is substantially the same as the sample contract in Appendix E. In no event is a vendor to submit its own standard contract terms and conditions as a response to this RFP. The vendor should examine the specific language in the Sample Contract (Appendix E) and state whatever exceptions the vendor may have to the proposed Terms and Conditions. Vendors' contract exceptions, if any, must include an identification of the specific contract section to which the vendor suggests a modification, along with the exact contract modification language suggested by the vendor. Extraordinary contract exceptions may, at the sole discretion of the Agency, be ground for disqualification of the vendor from further consideration in the award of the contract.

1.9.7 **TERMS OF CONTRACT**

The period of any contract resulting from this RFP is tentatively scheduled to begin on or about November 1, 1999, and continue through June 2000, which will align the project funding with the State fiscal year process. The Agency reserves the right to extend the contract for three one-year periods (each from July through June), through June 2003, based on performances and quality of deliverables. The option for renewal shall be at the sole discretion of the DRS. This contract shall include a firm fixed price for the Pilot installation and a cost schedule for software, and services for expansion to achieve the total implementation.

1.9.8 **CONTRACT SIGNING FOR DRS**

The Director of DRS or his/her delegate are the only individuals who may legally commit DRS to the expenditure of funds for this procurement. No cost chargeable to the proposed contract may be incurred before receipt of a fully executed contract.

1.9.9 OFM REVIEW AND APPROVAL

Under the provisions of Chapter 39.29 RCW, this personal service contract is required to be filed with the Office of Financial Management (OFM). No contract required to be so filed is effective and no work shall be commenced nor any payment made until ten (10) working days following the date of filing, and if required, until approved by OFM. In the event OFM fails to approve the contract, the contract shall be null and void.

1.9.10 PROPOSAL CERTIFICATION

The vendor must certify in writing that:

- All vendor proposal terms, including prices, will remain in effect for a minimum of one-hundred-twenty (120) days after the Proposal Due Date.

- All proposed hardware and standard system software has been operational at a non-vendor owned customer site for a period of at least ninety (90) days prior to the Proposal Due Date.

- All proposed capabilities can be demonstrated by the vendor; and that the proposed hardware and system software is currently marketed and sold.

Vendors shall use the Certifications and Assurances Form in Appendix F.

1.10 INTERLOCAL COOPERATIVE SERVICE AGREEMENT

This acquisition and resulting contract may be used by other agencies and political subdivisions of the State through the Interlocal Cooperative Service Agreement.

1.10.1 PUBLICITY

No informational packets, notices, press releases, research reports, and/or similar public notices concerning this project may be released by the Apparent Successful Vendor without prior written approval by the Director of DRS.

1.11 ACCEPTANCE OF SERVICES

1.11.1 DELIVERABLES

The DRS EDIMS project manager shall approve each deliverable. The vendor shall be responsible for testing all hardware and software to ensure that they meet all agreed upon specifications and testing criteria.

A schedule for deliverables, acceptance criteria for the deliverables, and roles and responsibilities will be established during contract negotiations. Payment cannot be made for any deliverable until it has been delivered and accepted by DRS.

DRS will withhold ten percent (10%) of each identified deliverable that will be paid after completion of each phase and acceptance of all deliverables for the completed phase.

1.12 RECORDS RETENTION

After the date of the announcement of the Apparent Successful Vendor, DRS will retain one master copy of each proposal received for a period of six years. However, due to limited storage capacity and workspace efficiencies, those copies may be moved from DRS headquarters to the Washington State Records Center in Tumwater, Washington, at the end of six months from the date of announcement of the Apparent Successful Vendor. Thereafter, accommodation of any request made pursuant to Chapter 42.17 RCW to examine and/or photocopy proposals submitted in response to this RFP will be necessarily delayed in order to retrieve the requested records. However, DRS will retain, at its headquarters, copies of the proposal from the Apparent Successful Vendor for a period of six years from the execution date of contracts resulting from this procurement.

2 GENERAL NEEDS AND CURRENT SYSTEM ENVIRONMENT

2.1 ELECTRONIC DOCUMENT IMAGING MANAGEMENT SYSTEM (EDIMS)

The Electronic Document Imaging Management System (EDIMS) is envisioned to provide a fully functional document management system, including web enabled imaging and automated workflow capabilities, with all state-of-the-art components. The system shall be designed to scan, store, retrieve, route and manipulate images to support business and administrative processes in all areas of DRS. The workflow component will provide automated rules-based decision making, process routing and workload leveling capabilities.

The intent is to implement EDIMS applications agency-wide. In addition to image-enabling main business functions, administrative functions will also adopt EDIMS for key applications. All DRS divisions and units will be "image-enabled" with basic imaging and workflow capabilities when EDIMS implementation is completed.

EDIMS will allow DRS to manage projected increases in customer volume and services. It will also reduce the reliance on paper flow, help streamline DRS processes, and improve disaster recovery for mission-critical documents.

DRS is interested in leveraging the financial, management and ease of deployment benefits of utilizing a Web client. The system should provide both a Web and Full Client interface. The selected vendor shall work closely with the DRS to establish user guidelines to determine where the web and full client interface should be deployed.

2.2 GOALS AND OBJECTIVES

DRS's goals and objectives for EDIMS are:

- Implement an Electronic Document Image Management System with hardware and software that scans, stores, retrieves, and manipulates images to support business processes in all areas of DRS.
- Reduce reliance within DRS on the large volume of business information now contained and managed solely in the form of paper documents.
- Improve disaster recovery for and safety of mission-critical documents through electronic storage.
- Provide a level of automated workflow support for current manual desk level procedures.
- Reduce DRS overhead for storing and retrieving documents.
- Enable staff to provide improved customer services.
- Manage projected increases in customer volumes and services.
- Streamline DRS processes through imaging and workflow.

2.3 IMPLEMENTATION

The intent of the project is to implement EDIMS applications agency-wide. Further analysis may indicate that some areas will not benefit from image-enabling their main business function, but staff in those areas may still use EDIMS functionality for administrative processes, such as submission of leave slips or travel vouchers.

We expect to image-enable and develop customized workflows for five major groups of functions:
- Member files processing for retirement, dependent care and deferred compensation;
- Employer processes and the collection of information about employers and members;
- Financial administration functions;
- Administrative functions, such as human resources, purchasing, and budgeting; and
- Support functions, such as Information Services, and legal and legislative processes.

It has not yet been determined whether this will require one set of generic indexes for all the functions, or whether multiple sets of indexes (and multiple databases) will be used.

After successful implementation of a pilot, all departments will initially be image-enabled with "basic imaging and workflow." Basic imaging and workflow is proposed to be as follows:
- Correspondence/forms received in the mailroom will be checked for completeness and quality
- Documents will be scanned, indexed, verified, and routed to the first receiver or work queue.
- The first receiver will have the capability of manually routing documents to other users or work queues.
- Any user with appropriate security access will be able to retrieve any scanned document using an index-based search function.
- Any user with appropriate security access will be able to retrieve selected scanned documents using text-based search. This capability will be limited in scope, currently to legal documents and selected correspondence and administrative documents.

DRS expects to purchase scanners, optical storage devices, and other hardware necessary to support the EDIMS Project as part of this RFP.

The pre-production pilot area (see Appendix A) will consist of several representative business processes selected by DRS, performed in one or two small units and involving less than 25 staff end-users. A determination will be made at the end of the pilot on whether to finalize the pilot development as the first production business process customization or to consider the pilot development a learning effort and reengineer that area or another as the initial production business area to implement with customized workflow.

2.4 BENEFITS

The following benefits have been identified:

- Integrating document images with other electronic processes, including workflow, enables DRS to:
  - Streamline business processes. For example, because imaging allows parallel processing, worksteps that were sequential can now be performed concurrently, thereby saving time to complete a process.
  - Stabilize business processes. Because workflow is rules-based, it will help ensure that processes are performed consistently every time, thereby gaining consistency of results and more efficient processing.
- Streamlined and stable processes will result in:
  - More timely services to customers
  - Increased quality of services to customers
  - Ability for staff to address more critical areas, allowing for more flexibility in responding to changing business needs.
  - Increased ability to manage projected future workloads and provide new services.
- Improves security and disaster recovery capability for DRS documents as well as reduces the likelihood of lost documents and files.
- Allows staff electronic, ready access to existing paper document files, such as member or employer files, eliminating wait times for paper files and documents. This will result in more timely delivery of services and, consequently, increased customer satisfaction.
- Gives DRS the potential to consolidate access to information-bearing sources, such as paper documents, electronic documents, faxes, voice mail, and E-Mail into one single source. Some of these sources have been unavailable to the majority of staff, or have been accessible only with a variety of electronic means. Consolidation of access will result in:
  - Bridging knowledge gaps in a group of individuals by making information readily available to everyone. The learning curve for new staff is significantly reduced.
    - Less time spent searching for information.
    - Fewer interruptions to processes and, hence, to delivery of service
- Provides better data-sharing for internal staff and external customers. This will result in:
  - Staff making more informed decisions.
  - Ability of DRS to offer customers direct access to images, within secured limits.
- Reduces space required for storage and retrieval of DRS records, as well as support staff.

2.5 DOCUMENT TYPES

Documents the Agency must manage come from:

- Retirement system members, retirees, dependents, legal order payees, and beneficiaries;
- Participants in the Deferred Compensation Program
- Employers;
- Attorneys (legal documents);
- The health community (medical records);
- Schools (school certificates);

- Other state agencies and entities;
- The federal government;
- Vendors;
- Internal staff;
- Retiree or member "stakeholder" groups and associations; and
- DRS automated systems.

Documents can come in the form of paper, fax, E-mail, and voice. These documents can include multi-part forms, handwritten, typed, copies, "stickies," onion skin, electronic files, card stock. Sizes are variable. Different formats in use at DRS include graphics, word processing, spreadsheets, databases, flowcharting, desktop publishing, and presentation applications. Some current and historical documents have color aspects and notations.

2.6 PAGE VOLUMES

Based on mailroom receipts and additional factors, DRS expects to image 2,500 - 3,000 pages daily. A backfile conversion effort of 3,000,000 pages of paper documents and 350,000 pages of microfilm and fiche is expected.

These statistics are adjusted from 1996 figures, as the workload has increased slightly since the development of the feasibility study. At the suggestion of several organizations and as a safety valve, DRS adjusted the original estimates for daily number of pages to be imaged. A factor for hidden duplexing was also added based on the experience that what are thought to be "pages" are frequently documents with information on both sides. Also included in the daily figures are 7,500 to 17,500 pages of COLD reporting per month.

Users request an average of 7,000 folders each month. On a daily basis, requests for folders can number from 100 to 1000. We do not have statistics for how many documents within the retrieved folders are actually accessed per day; however, folders can include anywhere from three to 100+ documents.

Scanning for mainline processes will be centralized in one location near the mailroom. However, scanning architecture must be able to support distributed scanning. Other processes, such as executive, legal, and human resources, may need to have limited scanning capabilities located in those individual areas for confidentiality or security reasons.

DRS expects to eventually use some or all, but is not limited to use of any of the following:

- bar coding
- OCR
- ICR
- Fax
- IVR
- Web-based service delivery and e-commerce

2.7 INDEXING

The proposed index database will consist of indexes that will have the following configuration:

Unique Identifier – A unique value that will not change and will provide a fixed reference. For member files, this value exists on and can be obtained from the current mainframe database. For the other groups, the number can be auto-generated by the technology.

Related Number – Social Security number, employer number or other defined reference number.

Standard Name – A member name, participant name, employer name, or other defined reference name.

Form Identifier – A defined abbreviation for the type of form or document being used.

Business Identifier – A defined abbreviation for the Business Area that is responsible for processing the document.

Date – May be the date on the document, the in-stamp date, or the date the document was scanned.

Financial Identifier – A defined financial or ledger value.

These indexes are for the main DRS database. Other imaging application areas to be image-enabled may have their own specific indexing structure.

2.8 RECORDS MANAGEMENT

DRS has a forms and publications management and approval process, and has established retention schedules for its forms. However, many current and historical forms do not carry standardized form numbers. Bar-coding is limited to folder management and is not currently part of any forms processing. Retention periods vary from a few days to more than 75 years. If a document is purged and flagged for destruction, all forms and copies of the document are required to be physically destroyed. Some consideration will need to be given to storing long-term documents by retention date and for how systematic purging and destruction can occur.

DRS must comply with the Records Management Standards set in the Revised Code of Washington (RCW) and the Washington Administrative Code (WAC). See Appendix N, "Record Management Standards."

An Agency forms management program is currently in the developmental stage and shall be in place before full implementation of Imaging.

2.9   TECHNOLOGY DIRECTION

DRS's business processes are currently based on mainframe applications that run on an off-site service center's IBM System 370 mainframe computer in a CICS environment. These applications are written in Software AG's Natural programming language and access Software AG ADABAS databases. The mainframe legacy applications will continue to run on the current platform.

In the future, DRS expects to expand the development of new applications, including the proposed imaging application, based on new client/server platforms and Internet platforms. Where relevant, interface capability with the mainframe data and applications will be a requirement of all new development tools.

DRS recently migrated to Microsoft products, including Windows NT, Exchange/Outlook, and Office. The network is based on a Novell NetWare network and a Windows NT server platform, which will remain for the foreseeable future.

DRS expects the EDIMS to interface with DRS mainframe systems, which include:
-   Member Information
-   Employer Information
-   Benefits
-   Disbursements
-   Receivables Management
-   Deferred Compensation
-   Dependent Care

It is also possible that the EDIMS will interface with external agencies' mainframe systems, such as HRISD (the Department of Personnel's human resources system), the Office of Financial Management's (OFM) systems, Legislative Network, and the State Treasurer. All are processed in the same mainframe environment and at the same Service Center as DRS.

The mainframe service provider is the Washington State Department of Information Services, IBM Services.

2.10   CURRENT DRS TECHNOLOGY PLATFORMS

2.10.1   DESKTOP PLATFORMS

- Desktop Workstations include 265+ Workstations – including Pentium 233 Mhz 64-96MB ram, Pentium II 233 Mhz 64-128 MB ram, Pentium II 450 Mhz 128 MB ram and Pentium III 450 Mhz 128 MB ram.
- Desktops include Microsoft Exchange/Outlook for e-mail, Microsoft Office Suite, Attachmate 3270 emulation, VISIO professional/enterprise, Microsoft Project
- Desktop Operating Systems are Windows 95 (98%), Windows NT Workstation (2%)

- Cornerstone 21-inch, P1500 Color monitors on all image-enabled desktops (200+)

2.10.2 NETWORK PLATFORMS

- Novell NetWare 5.0 Server and Microsoft NT Server 4.0
- Ethernet 10/100 BaseT with 100 MB NIC cards in all PCs
- 450T Bay Network 10/100 BaseT auto sensing switches
- 1200 Accelar Bay Switch for backbone connectivity
- 1 GB fiber backbone

Please reference **Appendix K – Network and Facility Layout Diagram**

2.10.3 SERVER PLATFORMS

Current Server Configurations include:

> 2 Pentium single CPU (dual capability) P11-350 Mhz, 523 meg ram, 45GB RAID,
> Novell Netware 5.0 file and print servers
> 1 Pentium Single CPU (dual capability)-P5-100 Mz, 32 MEG RAM, 10GB RAID Novell
> Netware 5.0 File and print server
> 1 Pentium Pro Single CPU (dual capability) P5-200 MEG RAM, 16 GB NT server 4.0
> PDC, IIS, Proxy server
> 1 Pentium Single CPU (dual capability)PII-350Mhz, 512 MEG RAM, 16 GB
> Microsoft NT 4.0 server, Exchange Server
> Shiva Remote Communications Server

Mainline services are being upgraded with the purchase of the following:

> Three (3) IBM Netfinity 5500's with (2) PIII 500mhz Intel XEON processors
> 1024-kb of internal level 2 cache per processor
> 1-GB of SDRAM memory
> (1) Ethernet 10/100 controller
> (1) Ethernet 10/100 failover controller
> (6) 18.2-GB SCSI hard drives to be configured as Raid-5
> Three (3) IBM Netfinity 3000's with (2) PIII 500mhz Intel XEON processors
> 1024-kb of internal level 2 cache per processor
> 1-GB of SDRAM memory
> A second failover power supply
> MS NT 4.0 Server O.S.
> Cheyenne Inoculan

For the EDIMS, DRS will be using and has purchased (3) primary servers and (2) fault tolerant servers configured as follows:

> IBM Netfinity 5500 with (2) PIII 500mhz Intel XEON processors

1024-kb of internal level 2 cache per processor
1-GB of SDRAM memory
(1) Ethernet 10/100 controller
(1) Ethernet 10/100 failover controller
(6) 18.2-GB SCSI hard drives to be configured as Raid-5
A second failover power supply

Additional items:
(1) IBM 35/70 DLT tape drive with Seagate Backup software for one of the servers
(1) Spare 18.2-GB SCSI drive to be used to hot swap out a failed drive.
(10) MS NT 4.0 Server Client Access Licenses
(2) APC smart 3000 UPS

2.10.4 DATABASE PLATFORMS

The Agency is currently undergoing evaluation and selection of a network-based client server database standard. Software AG's ADABAS is the database used in the mainframe environment.

2.11 YEAR 2000 COMPLIANCE

All hardware and software that are to be provided under this contract shall be year 2000 compliant. All vendors submitting a proposal shall sign the State of Washington: Year 2000 Protection and Warranty Language. (See Appendix C for additional requirements.)

3 TECHNICAL REQUIREMENTS – IMAGING & WORKFLOW FUNCTIONALITY

This section describes the anticipated processing and operations that the proposed system must support and details the specific system requirements that must be fulfilled. DRS is only interested in Commercial off the Shelf (COTS) products. These products shall be implemented and seamlessly integrated by the software manufacturer and/or a network of experienced integrators certified by the software manufacturer. The vendor shall have verifiable experience in the design and implementation of imaging and workflow applications.

The system shall enhance the current document and information handling within the DRS. It shall handle multiple types of documents and be capable of incorporating image capture, document management, workflow, Computer Output to Laser Disk (COLD) and electronic data from other systems. The system shall be integrated with the PC office productivity applications currently in place at DRS. The system must also be capable of integrating with mainframe legacy applications.

3.1 DESIGNATION CODES & RESPONSES

Each section will be prefaced with a code designating the importance of the criteria and the response required by the vendor. The following is an explanation of the codes:

(M) – Mandatory. This designates a mandatory requirement. Vendors must comply, without exception, with the requirement as it is written. Alternative methods will not be accepted. Vendors must explain in technical detail how the proposed system meets a mandatory requirement, including all related processing that takes place.

(A) – Alternative. This designates a requirement for which an alternative solution may be proposed. The functionality described must be supported, but vendors can propose a solution as written, or supply another solution that offers the same desired results. Vendors must explain in technical detail how the proposed system meets the functional requirements, including all related processing that takes place.

(MA) – Mandatory/Alternative. This designates a requirement to which vendors must comply as written (identical with a "Mandatory" requirement described above.) However, vendors may also propose an additional alternative solution that offers the same desired results (identical to an "Alternative" requirement).

(D) – Desired. This designates a desired feature, option or functionality that DRS strongly prefers the proposed system be capable of supporting. If the proposed system does offer the desired features, vendors must explain how, in technical detail.

(R) – Response. This designates a section or subsection to which vendors must respond as requested with a detailed explanation and description.

(I) – Informational. This designates a section or subsection that is provided to the vendors for informational purposes only.

Vendors must clearly specify any and all parts of the proposed system that are not "out-of-the-box" and that require development and/or customization. If development or customization is required, vendors must indicate what tools will be used, resources required, time frames, and costs.

Vendors are encouraged to propose additional or enhanced features, components and designs if they feel that important issues have been overlooked and/or if they can improve the functionality or efficiency of the proposed system.

3.2 IMAGING REQUIREMENTS

This section specifies a set of features and functionality required for imaging. The imaging functionality is the main component of EDIMS. The following is an overview of the critical imaging elements and capabilities that must be provided in the proposed system:

- The system must provide the capability to convert paper documents into electronic images
- The system must provide the capabilities to manage the incoming work and route it to the appropriate individuals or work queuesin the process.
- The system must provide the administrative functions for managers and administrators to balance the work, track activities, assign priorities, and report on the processes.
- The system must provide security for the data, processes, work queues, administrators, staff users and customers.
- The workflow must support Workflow Management Coalition (WfMC) and other industry standards.
- The workflow must have a high level of integration with the imaging functions.

3.2.1 INTEGRATION

3.2.1.1 Imaging Processes

(M) The proposed imaging system must be capable of supporting both Production Imaging and Desktop Imaging processes. Describe how the proposed application will support these processes.

3.2.1.2 Workflow Integration

(M) The imaging system must have a high level of integration with workflow components. Describe the workflow products supported and their level of integration with imaging.

3.2.1.3 Document Management Integration

(M) Document Management is a required capability, which will be implemented as a follow-on function. Describe the document management products supported and their level of integration.

3.2.2   FUTURE INTEGRATION CAPABILITIES

3.2.2.1   Integration with Interactive Voice Response and Video

(**DR**) DRS expects EDIMS to eventually encompass integration with Interactive Voice Response (IVR) and video. Describe the ability of the proposed system to integrate with these technologies.

3.2.3   SCANNER REQUIREMENTS

(**I**) Bar Code Batch Separation - Bar codes will be used as document and batch separators. Bar code sheets will identify when a multi-page document ends. The bar code sheets will also identify when one batch of scanning ends and another one begins.

3.2.3.1   Scanner Standards

(**M**) TWAIN and ISIS standards must be supported.

3.2.3.2   Scanner Capabilities

(**M**) Multiple mid-volume scanners that can support both B&W and color scanning will be required. These scanners must have automatic document feeders (ADF) and be capable of handling a variety of paper textures and sizes including standard and legal. Describe the proposed scanner configuration and their capabilities including speed, resolution, duplex, throughput, scanner boards, etc.

3.2.3.3   Flat bed Scanners

(**M**) For imaging of single page documents, a "flat bed" scanning capability will be required. Describe how this requirement will be supported.

3.2.3.4   Scanner Settings

(**M**) Scanner settings such as brightness, contrast, resolution must be adjustable through software; the scanner operator must also be able to manually adjust the settings.

(**D**) It is also desirable for the scanner to sense the characteristics of a document and automatically adjust the scanner settings to optimize the image.

3.2.3.5   OCR, ICR, Fax and Bar Coding Features

(**M**) OCR must be provided.

(**A**) Although current DRS forms are not printed with bar codes, DRS expects to revise its forms to include bar codes for certain index values (e.g., document type, business unit identifier). DRS is further interested in the possibility of printing forms on demand with additional index values bar coded (e.g., name, SSN). Describe how the product would address these options.

Specify any additional costs separately on the Cost Worksheet.

(D) ICR is a desirable capability. Describe how these capabilities will be supported in the proposed imaging system's hardware and/or software components.

(M) Fax document capabilities must be provided, both for sending and receiving. Describe how these capabilities will be supported.

3.2.3.6   Scanning Station Functionality

(R) Describe the functionality of the scanning station such as batch processing, indexing, and quality control.

3.2.3.6.1 Elimination of Blank Pages

(M) The scanning process must be able to sense and eliminate blank pages automatically.

3.2.3.6.2 Distributed Scanning

(M) Although DRS expects to have centralized scanning in the mailroom, the scanning architecture must also be capable of distributed scanning. Describe how distributed scanning would be supported and what would be required.

3.2.3.6.3 Document Control Count

(M) Document control count shall be available before batch scanning to compare to actual count.

3.2.3.6.4 Scanner Interruption

(M) Scanner must be able to restart in mid-batch in case of an interruption.

3.2.3.6.5 Scan to Cache or Workstation

(M) The scanner must allow scanning of documents to cache or the workstation's disk drive before indexing.

3.2.3.6.6 Scanner Settings

(M) The proposed system must be able to save and recall various scanner settings and configurations. This will allow for scanning different types of documents or jobs. Describe how these settings can be saved and reused.

3.2.3.6.7 Image Quality

(M) Scanner must have the ability to vary the image quality from 200 dpi to 400 dpi.

(D) Scanner should have the ability to support 600 dpi.

(M) Scanner must support 256 shades of gray.

3.2.3.6.8 Scanner Configurations

(R) The vendor shall specify what brands of controller cards are used for the scanner/workstation interface and the functions supported by the boards.

(R) The vendor shall specify the interface provided – video or SCSI.

3.2.3.6.9 Data Capture and Conversion from Images

(M) During the data capture phase, the system must provide the capability of deferring the routing of documents from one processing step to the next until all documents in a batch have completed processing in the current step. When all documents have been processed in the current step, the entire batch of documents will be routed as a unit to the next step. The processing steps of data capture will be Document Scanning, Scan Quality Check, Indexing, Quality Assurance Check, and Document Release. Describe how this requirement would be supported.

3.2.3.6.10 Quality Assurance

(R) Though it is anticipated that extensive process automation will be possible to facilitate capture of data from documents, it is recognized that these automated procedures will not be 100% effective or reliable. Therefore, a comprehensive Quality Assurance and review process must be provided to ensure that data is reliable. Describe the QA procedures that would be implemented with the system.

3.2.4 FOLDERING CAPABILITIES

3.2.4.1 Structuring Capabilities

(R) Describe how folders are created, number of levels within a folder, naming conventions, and how users can dynamically customize views of the folder and indices.

3.2.4.2 Assembly

(R) Describe how images are assembled into folders/documents.

(M) User must be able to move images individually or as a group between folders.

(M) User must be able to drag and drop folders created in a Web browser.

(M) The proposed system must be able to include fax documents, e-mail documents, e-forms, and other non-imaged documents in the folders.

(M) The proposed system must be able to store a single image in multiple folders to limit redundant images.

3.2.5 INDEXING CAPABILITIES

3.2.5.1 Building the Index

(M) The proposed system must be capable of handling at least 15 index fields. The primary index will be a unique identifier that is based on the unique number assigned by the mainframe, when a member account is first created. (For groups other than member accounts, the unique number will be generated using the EDIMS technology.) In addition, several other fields will be used in the index. Describe the indexing capabilities of the proposed system and any limitations.

(M) Index Structure Changes - DRS expects over time to have to add or delete selected index structures from a document group structure. Vendors are to describe how changing the index structures (as opposed to individual data elements) can be accomplished.

3.2.5.2 Index Processing

(M) Index processing must be batch-oriented and result in the routing of scanned documents.

(M) The system must have the capability of indexing electronic documents such as e-mail, electronic forms, intranet/internet forms, and IVR documents, without converting these types of documents to paper documents for scanning and indexing.

(M) The proposed system shall provide batch information such as:
- Batch Number
- Batch Date
- Unique Image Identification Number (for each document in the batch)
- Document Source (where the document originated)

(M) Automated features must allow automated entry and verification of the index.

(M) The proposed system must support the routing and queuing of the scanned documents.

(M) The proposed system must support a feature that allows the index operator to view the document and re-index if required.

(M) Index Changes - There is a possibility that indexes will be entered incorrectly. The system must allow for changing any of the indexes entered after the document (batch) has been committed. Describe how changes can be made.

3.2.5.3 Index Validation

(M) The index for the image must be validated through integration with the Agency's Software AG ADABASE database that resides on an IBM mainframe. The index operator must have the capability to obtain the number and perform the validation manually or through a triggered process. Describe a process or method to perform this requirement.

(D) The index for the image should be validated by direct or API access to an external database, client server and mainframe. Describe a process or method to perform this requirement.

(M) The proposed system must be able to have indexes automatically generated via barcodes, OCR or other similar sources.

(M) The proposed system must validate the index against a table of values.

3.2.5.4 Index Screen

(M) The index processing screen must present the batch-oriented values and the document index values. The screen must also present an option to pick the routing of the processed document.

3.2.5.5 Metadata

(M) Metadata must be included in the indexing process.

3.2.6 **RECOGNITION ENGINE**

(M) A recognition engine must be provided with the proposed system. Describe the features and capabilities of the recognition engine.

3.2.7 **REPAIR & MARKUP CAPABILITIES**

3.2.7.1 Repair Tools and Features

(M) The proposed system must have the following repair tools:
- Deskewing
- Speckles and artifact removal
- Cropping
- Line removal
- Line smoothing
- Rotation

- Automatic scaling for output
- Fill for holes

Describe the available document repair capabilities.

3.2.7.2 Markup and Annotation Features

(**M**) The proposed system must have the following markup capabilities:
- Highlighting
- "Sticky notes"
- Blackout
- Digital Stamp
- Digital Signatures

Describe the markup tools that are included in the software, and indicate if they are proprietary or provided by a 3rd party.

3.2.8 DOCUMENT SEARCH & RETRIEVAL CAPABILITIES

3.2.8.1 Search Engine

(**M**) The proposed system shall have a search engine included. Describe the features and capabilities of this search engine.

3.2.8.2 Query Types

(**R**) Describe the search and query capabilities by the proposed system.

3.2.8.3 Search Utilities

(**R**) Describe search utilities that are provided, such as search templates, stored searches, "bookmarking" frequently retrieved documents, etc.

3.2.8.4 Display of Search Results

(M) Search results must provide user with a summary screen of search results, and display information such as date created, number of pages, etc. Search results should be available for access via API's, such that custom screen presentations can be created using industry standard program development tools (e.g., Visual Basic, Delphi, etc.)

(**M**) Full text search capability will be required for selected forms and document types.

3.2.8.5 Retrievals

(**R**) Describe how retrievals are displayed and what statistics are shown.

3.2.8.6   View Tools

(**R**) Specify what viewing tools are provided and supported by your product. List any proprietary and 3rd party tools.

3.2.8.7   Viewing Capabilities:

(**M**) The viewer must be able to perform the following on the images:

- Enlarge specific areas on the image
- Provide for movement through multiple pages of one document (e.g., go to next page or previous page, etc.)
- Display images side by side for document comparison
- Annotate a document
- Rotate images
- Display multiple images/documents on a screen

Describe the full viewing capabilities of the software.

(**M**) The system must allow for retrieval and viewing of COLD documents under direct control of the workflow.

(**M**) Browser Viewing - Agency staff must be able to view EDIMS documents and other document management documents (Word, Excel, etc.) that are imported directly in from the desktop via the Agency's Intranet/Internet. The proposed system must be able to provide check-out, check-in and version control. Intranet/Internet document viewing must have password security to control who is permitted to view specific documents.

Describe your products' Internet/Intranet viewing capabilities.

3.2.8.8   View Data Formats

(**M**) The proposed system must be able to view the following formats: AFP, ASCII, JPEG, TIFF, CCITT Group III and IV, HTML, PDF. Describe what other formats can be viewed.

3.2.9   **DOCUMENT PRINTING**

(**M**) The system must support printing of images from either retrieval or workflow functions, i.e., any screen that allows document selection for display must also allow selection for printing. It must not be necessary to display a document prior to printing. The user must be able to perform an image print or a portion of the image. Describe the print capabilities of the proposed system.

(**M**) Workflow must be capable of invoking an image print any any point in a process, either manually or automatically.

(**M**) The system must support the capability of postponing the printing of documents routed to a particular print queue until non-peak hours. The system must be capable of starting the print job automatically at a certain time.

(**M**) Administrators must have the control to allow or restrict the manual printing from anywhere in the system by user, queue, or document type. Describe the processes for controlling print capabilities.

(**M**) The system must support scheduled printing and print queues. Authorized users, managers, or administrators must be able to access their print jobs.

(**M**) Enterprise-wide printing must be supported. Networked printers, directly attached printers, and print servers must be supported. These printers must be capable of printing either text or image documents without user intervention. When a compressed image is sent to one of these printers, the printer must recognize it as an image, decompress, scale, rotate, and print the image. Vendors must indicate how this process would occur and what hardware and software is required.

(**R**) If there are benefits to using dedicated image print servers in addition to LAN attached printers, either due to a vendor's software capabilities and features or other technology factors, describe these benefits and explain what options are available.

3.2.10 SECURITY

3.2.10.1 Security Configuration

(**R**) Describe what security configurations are available to prevent unauthorized use of resources including applications, documents, folders, form type, etc.

3.2.10.2 Levels at which security can be implemented

(**M**) Security must be provided for versioning, notes/annotations, folders, or documents. Describe what security levels are available.

3.2.10.3 Security Integration

(**M**) Security must be integrated with Novell and/or Windows NT platform security. Describe how that would be accomplished.

3.2.10.4 Defining or Modifying Security Access

(**M**) Administrator must have the ability to update security in real-time for documents, batches, users, user classes.

(**M**) Document security may be set automatically by index and/or document type.

(**R**) Describe how security can be defined or modified in the proposed system.

3.2.10.5 Audit Logs

(**R**) Describe the audit capabilities of the proposed system.

(**M**) Audit logs must capture time/date stamp and userid/terminal id for all transactions.

(**M**) Audit logs must be available for all security changes.

(**M**) Audit logs must notify atypical activity (volume or access).

3.2.11 **FORMS PROCESSING**

3.2.11.1 Forms Processing

(**DR**) The system should have forms processing capabilities. These should be modular add-on components that do not require significant changes to the system. These capabilities may be either internally developed or provided by a third party. Describe the forms processing capabilities of the proposed system.

3.3 WORKFLOW FUNCTIONALITY

This section specifies a set of features and functionality required for workflow. The workflow functionality is an integral component of EDIMS, since the process does not end once the image is created and stored in the system. The following is an overview of the critical workflow elements and capabilities that must be provided in the proposed system:

- The system must provide a set of tools, processes, programming languages, and APIs to define and establish a workflow.
- The system must provide the capabilities to manage the incoming work and route it to the appropriate individuals in the process.
- The system must provide document suspense and version control for incomplete or cycled documents.
- The system must provide the administrative functions for managers and administrators to balance the work, track activities, assign priorities, and report on the processes.
- The system must provide security for the data, processes, and users.
- The workflow must support Workflow Management Coalition (WfMC) and other industry standards.
- The workflow must have a high level of integration with the imaging functions.

See Appendix D for a sample workflow of a typical DRS procedure.

3.3.1 WORKFLOW ARCHITECTURE

(**R**) The vendor shall describe the workflow architecture and design that will provide DRS with basic workflow components outlined in this section. The level of adherence to Workflow Management Coalition standards should be specified.

3.3.2 LEVEL OF INTEGRATION

(**R**) The vendor shall indicate the level of integration between the imaging application and workflow application, and whether these capabilities are bundled with their imaging product, provided as a separate product offering, or provided by a 3rd party partner. (Note that if this capability is not bundled, the associated costs should be specified in the Cost Proposal section. Any capability not bundled should be specified separately on the pricing schedule in the Cost Proposal section.)

3.3.3 DEFINING WORKFLOW

3.3.3.1 Workflow Tools

(**M**) The workflow product must have development tools to assist users, managers, or administrators to define workflow using a graphical user interface. Describe what tools are available, such as a forms designer, library of starter objects and templates, etc.

3.3.3.2 Workflow Process

(M) The workflow product must have workflow process capabilities such as activity-based costing, critical path analysis, process simulation, what-if modeling, and workload balancing. Describe what process tools are available.

(M) The system must accommodate flexible workflows such as instant (on-the-run) changes and Just-in-time (JIT) load-balances (or workload) changes.

3.3.3.3 Workflow Definition

 (M) Both end-users and programmers must be able to define workflow and its elements. Describe the differences in the capabilities of end-users and programmers.

3.3.3.4 Workflow Reusability

(M) Workflow components such as modules, steps, and tasks must be reusable. Describe how each can be reused.

3.3.3.5 Backup of Workflow

(M) The system must be capable of backing up all workflow data and definitions, and be capable of restoring any or all data, if necessary.

3.3.4 **RECEIVING WORK**

3.3.4.1 Inbox Functionality

(M) The application must provide inbox (i.e., work queue) functionality. Describe the inbox functions that are offered by the product.

3.3.4.2 Notice of Work

(M) When work is received in either a user inbox or a universal inbox, the user or manager must be notified of the work. Describe how the notification is accomplished.

3.3.4.3 Allocation of Work

(M) The manager or administrator must have the ability to allocate the work by either Last-in/First-out (LIFO) process or First-in/First-out (FIFO) process. Describe how this requirement will be met and at what level the allocation can be managed, e.g., by work queue, work unit, users, etc.

3.3.4.4   Prioritization of Work

(**M**) The manager or administrator must have the ability to prioritize or re-prioritize the work by date that the work was created or due date of work. Describe what other ways work can be prioritized and at what level the prioritization can be managed, e.g., by work queue, work unit, users, etc.

3.3.4.5   Monitoring of Work

(M) The system must provide the ability to find a document, identify where it is in the process and how long it has been in that status or queue. Describe how the monitoring system works.

(D) Workflow Delay Prompting: Staff needs to be able to know when a document or work process has been sitting in a queue too long. The system should provide the feature of sending a prompt to a staff person / manager or special queue when a document or process has been sitting in a status or queue for more than a specified time. Describe the notification process.

3.3.4.6 Multiple Access of Work Queues

(**M**) The system must allow for multiple user access of work queues.

3.3.4.7 Multiple List Order Options

(**M**) The system must allow for multiple list order options for documents in work queues, based on a database field and controllable by users.

3.3.5   **ROUTING WORK**

(**M**) The system must have the following capabilities for work/documents to be routed, using rules or role-based criteria:

- Sequential routing
- Parallel routing with a rendezvous feature
- Conditional routing
- Pending routing

 Describe what other ways work can be routed and the method that is used to route the work (e.g., e-mail).

3.3.6   **REVIEW AND APPROVAL**

3.3.6.1   Review Work Capabilities

(**M**) The reviewer must have the capabilities to view, comment, accept, or reject comments. Describe the process and capabilities that can be used to review the work.

3.3.6.2 Group Review Capabilities

(**R**) Describe the process and capabilities that can be used to review the work by a group.

3.3.6.3 Approval Capabilities

(**M**) The workflow must have the ability to identify who approved, date of approval and time of approval. Describe the capabilities for approving work and how approvals are tracked.

3.3.6.4 Modifying Work

(**M**) The workflow must have the ability to block documents from modifications and to change the status of those documents from "in review" to "final." Describe the capabilities for blocking and changing status of documents.

3.3.6.5 Electronic Signatures

(**M**) Electronic signatures are required and must have date and time stamp. Describe the capability for electronic signature, and time and date stamp.

3.3.7 **RULES & ACTIONS**

3.3.7.1 Launching External Processes

(**M**) The system must be able to launch external processes through programming languages (Visual Basic, etc.). Describe how this will be accomplished.

3.3.7.2 Reassigning Work Queues

(**M**) The proposed system must allow the reassignment of work queues either manually or automatically. Describe how this will be accomplished.

3.3.7.3 Action Triggers

(**M**) Actions in the workflows must have the capability to be triggered based on time, event, volume, user-specified rules or ad hoc action. Describe the triggering capabilities.

3.3.8 **ADMINISTRATIVE & MANAGEMENT FUNCTIONALITY**

3.3.8.1 Workflow Definition

(**M**) The system must provide tools for the creation, storage, and maintenance of workflows and workflow elements, such as work queues. Describe the capabilities provided.

3.3.8.2   User Authorization

(**M**) The system must provide tools for controlling processing and data access by users. Describe the capabilities provided.

3.3.8.3   Load Balancing and Queue Management

(**M**) The system must provide tools for viewing, load balancing and queue management. These would include moving work across queues, reprioritizing work, setting work deadlines, etc. Describe the capabilities provided.

3.3.8.4   Reporting Capabilities

(**M**) The system must provide standard reports for workflow processes and the ability to customize specific reports. Describe the capabilities provided.

3.3.9   **WORKFLOW SECURITY**

3.3.9.1   Auditing Capabilities

(**R**) Specify auditing capabilities of the workflow product.

3.3.9.2   Reporting Capabilities

(**R**) Specify reporting capabilities of the workflow product, including exception and management reporting.

3.3.9.3   Security Levels and Monitoring Access Rights

(**M**) The system must be able to provide security at the user, group, and object level (folder, document, etc.). Describe how this would be accomplished.

(**M**) The system must provide security at different levels of the workflow. Describe how this would be accomplished.

3.3.9.4   Encryption

(**R**) Specify the encryption capabilities available for documents in the workflow.

4 TECHNICAL REQUIREMENTS - SYSTEM ARCHITECTURE AND PLATFORMS

4.1.1 OPEN SYSTEM ARCHITECTURE

(M) DRS is mandating the use of an open systems architecture that will allow for integration of existing mainframe with client/server based applications, thus protecting its investment in existing hardware and software platforms while maximizing the ability to use and exchange information throughout the organization. This architecture will enable DRS to keep pace with the rapidly changing information technology environment by permitting DRS to easily migrate to these new technologies.
Describe how your proposed system will support DRS open system architecture environment:

4.1.2 CLIENT/SERVER ARCHITECTURE

(M) The system must be based on client/server architecture with industry standard personal computer workstations connected via a local area network (LAN) or wide area network (WAN). The system must be able to perform both centralized and distributed functions. Describe the client /server architecture of your proposed system:

4.1.3 INDUSTRY & DE FACTO STANDARDS

(M) Well-defined industry and de facto standards in the areas of operating systems, databases, networking, communications, and storage shall be followed. This will allow DRS to achieve openness, permitting the system to be integrated into environments that include other applications and other systems with minimum effort. Describe how the proposed system meets these standards:

4.2 SCALABILITY

(M) The system must be easily expandable in terms of number of users, locations, applications, and files/objects. Explain how the proposed system meets this mandatory both in relation to technical functions and through the purchase of additional licenses:

4.3 OPERATING SYSTEMS

(M) DRS has implemented Novell Netware and Windows NT as the standard operating system for network servers. Windows 95 is used for desktop clients and portable computers. The system must be fully compatible with Windows NT version 4.0 and greater and Windows 95 operating environments. DRS will eventually migrate to Windows 2000. Describe how the product supports these platform standards and the eventual migration to Windows 2000:

4.4 DATABASES

(M) The proposed system must be fully compatible with both Microsoft SQL Server, and Oracle Databases.

4.4.1 INDEX DATABASE

(M) A database system must be used to store and manage the index data files. Describe the proposed database system. Include the types of database platform supported, versions and standards supported, specifications, creation and maintenance tools, and support for third party packages.

4.4.2 IMAGE DATABASE

(M) A database system must be used to store and manage the image files. Describe the proposed database system. Include the types of database platforms supported, versions and standards supported, specifications, creation and maintenance tools, and support for third party packages.

4.4.3 CAPACITY OF DATABASE(S)

(M) The proposed database(s) must be capable of managing 300 million records and their associated indexes.

4.4.4 SOFTWARE AG'S ADABAS DATABASE SUPPORT

(M) DRS mainframe applications use Software AG's ADABAS in an IBM mainframe CICS environment via Attachmate software. The EDIMS must be able to interface with ADABAS. Explain how ADABAS can interface with EDIMS directly, through API's and via existing mainframe applications that access ADABAS files. In the Cost Proposal portion, specify costs of supporting this requirement separately.

4.4.5 MICROSOFT SQL VERSUS ORACLE DATABASES

(R) Describe the advantages and limitations of using MS SQL Server versus Oracle for the proposed system. Specify version.

4.4.6 DATABASE ADMINISTRATIVE FUNCTIONS

(M) The database administrative functions must include but not be limited to the capability to add or delete index fields, backup utilities, database cleansing utilities. Describe the database administrative functions.

4.4.7 DATABASE BACKUP AND RECOVERY FUNCTIONS

(M) The system must provide database backup and recovery functions. Describe in detail how database backup and recovery functions operate.

4.4.8   FAULT TOLERANCE

(I) Due to the mission critical nature of the document management applications proposed, fault tolerance technology will be used. Separate from this RFP, DRS will acquire additional servers and software to support this requirement.
(R) Describe in detail how the proposed products will operate in a fault tolerant environment.

4.5   OPTICAL STORAGE

(M) Vendor must supply optical storage devices necessary to support this system. Vendor is asked to calculate the amount of storage required and propose an optical storage solution. DRS will have the option of sourcing the equipment from a different vendor.

(A) Non-Peak Committal. The system must support committal to optical media during non-peak hours. For example, the system must support the following scenario: A document is scanned at 9:00 a.m., quality control checked, indexed and released. The document is stored in production on magnetic media and is available for all end-user retrieval and use. The document would be moved to optical disk, based on document type and last access date.

(A) User Directed Optical Storage. The system must support storing a document on magnetic media after data capture, and then allow an end-user the option of committing the document to optical. It is anticipated that this would be supported through a workflow process.

(A) Clustering. Vendor must describe their methodology for storing an image on magnetic media and optical disk storage.

(M) Storage of COLD Documents. The system must support the storage of COLD images relating to the participant on the same optical disk as the master images in the member file.

(A) Reserved Disk Space. If a vendor recommends a clustering approach, the vendor must also recommend the amount of reserve disk storage that must be available for system growth after the backfile conversion is complete.

4.5.1   FILE STRUCTURE

(M) Describe the file system and structure that is used for storing and managing the image files.

4.5.2   MULTIPLE OPTICAL STORAGE UNITS

(M) The system software must be capable of supporting multiple optical storage units.

4.5.3   HIERARCHICAL STORAGE MANAGEMENT

(**M**) Specify what software is used to manage the storage media and the process that is used. This would include reporting and storage management utilities.

4.5.4 DOCUMENT STORAGE CONTROL

(**A**) Production storage. The storage subsystem should support the option of storing production documents (after release) on magnetic media only, and on both magnetic and optical media. This will be based on the document type code and document date, and will be predetermined by a system administrator. Vendors may recommend other methods that might be more efficient when using their software product.

(**A**) Copying Documents from optical to magnetic storage. Administrators and authorized users should have the option of copying documents stored on optical media to magnetic media. There should be the capability of specifying how long these images will remain on magnetic media, using document type and last document access date.

(**MA**) Magnetic Storage. During the release process, the system must support the following options of retaining documents on magnetic media (based on the document type):
- Permanently
- For a predefined period of time
- Until magnetic space is filled, using a FIFO process

4.5.5 USER PREFETCHING

(**M**) The system must support a function that allows users to request one or more documents, one or more folders/subfolders, or one or more files be copied from optical to magnetic storage. These image files will be placed on magnetic system storage and remain there until document type and last access date requirements are met.

(**M**) The system must be capable of automatically copying image files from optical to magnetic based on certain events such as the receipt of a particular document, or the value in a database field, or as part of a workflow process.

(**M**) The system must allow the option of storing prefetched documents in one or more ad-hoc user queues.

(**D**) The system should be capable of automatically prefetching additional documents. For example, system administrators should be able to indicate that whenever document A is prefetched, documents B and C will also be prefetched.

4.6 NETWORKS & PROTOCOLS

(**M**) DRS uses a 10/100 BaseT Ethernet network. Specify how the proposed system will utilize this network and additional network architectures that are supported.

4.7 NETWORK OPERATING SYSTEM

(M) Describe how the proposed system will support Novell NetWare and NT Server operating systems in the proposed system.

4.8 GRAPHICAL USER INTERFACE (GUI)

(A) Graphical User Interface

The system must have a graphical user interface (GUI) for end-user processing and administrative functions. The system must allow customization to match a user's process environment.

- The GUI must be easily customizable by DRS for individual applications and users.
- The system must dynamically modify the GUI used for document access based on the user's rights or permissions that have been defined.

Describe all workflow user interfaces and indicate if an industry standard graphical user interface (GUI) is provided. Itemize any additional costs separately on the Cost Worksheet (Appendix G).

4.9 EASE OF USE

(R) Describe the functions / features of the products proposed that contribute to their ease of use for both users and system administrators.

4.10 EASE OF DEPLOYMENT

(R) The amount of time required to deploy the proposed system is an important consideration for DRS. Describe how you envision deploying this system.

4.11 INTEGRATION

(M) API level integration capabilities must be provided. Describe the APIs, tools, and languages available.

(M) Screen level integration must be provided. Describe the tools and languages available and used.

5 SERVICES AND SUPPORT

This section shall describe the services and support provided by the vendor, including project management; analysis; application development; installation; and training. Vendor may include additional subcategories that may be used during the implementation of an EDIMS system.

5.1 PROFESSIONAL SERVICES

Vendor must describe the structure and capabilities of their professional services organization including services offered, geographical coverage, and staffing levels and capabilities.

5.2 PROJECT MANAGEMENT AND DEVELOPMENT SERVICES

In order to enhance the implementation of a document management system, DRS is interested in complementing and balancing the vendor's technical capabilities with other vital knowledge, skills and abilities. DRS intends that Agency staff and vendor staff work together as a team to accomplish the goals and objectives of this project.

- The vendor must describe the project engagement structure and capabilities of their project management and systems development services offered. Please specify staffing levels and include resumes of staff who would be working on-site at DRS, Tumwater, WA, over the duration of the project. If the vendor indicated ability to address Section 1.5.3 ("State Retirement Systems Experience") and thus received additional points for that item, the vendor project team must have one position on site throughout the project filled by a person with those qualifications.

- The vendor must describe its project management methodology, guiding principles and core values. Include how vendor's staff will work with the DRS EDIMS team.

- The vendor must describe its methodology/approach to Change Management and Transition Planning to assist DRS in transitioning to an electronic document management system. The vendor must describe how it would contribute and add value to DRS' change management efforts. At a minimum, address such activities as:
  1. Preparing for change
  2. Coaching DRS staff during implementing and transitioning to the new system
  3. Post-implementation coaching and consulting for management, users and technical/support staff
  4. Follow-up efforts to ensure maximum understanding and efficiencies gained from the new system

  Provide hourly rates for activities 1 through 4 described above; provide up to three references of organizations to which you have provided similar services, along with point of contact, address and telephone number for each.

- Vendors are asked to provide information describing their experience and methodology for business process reengineering.

- Vendors are asked to provide a high-level project plan (no more than two pages) outlining the major tasks that would be done to conduct a pilot that adequately tests the document management and workflow software. The plan should describe tasks, duration, and who must be involved. Include details about the participation required of DRS staff. (Reference Section 1.3 and Appendix A for information on DRS's pilot.)

- Vendors are also asked to provide a high-level project plan (no more than two pages) outlining the major tasks for the post-pilot phases. The plan should describe tasks, duration, and who must be involved. Include details about the participation required of DRS staff.

- Vendor shall submit a detailed project plan after contract approval. The vendor shall also have the responsibility for updating the project plan. The detailed project plan shall describe the following phases:
  - Application Analysis
  - Application Development
  - Application Installation
  - Application Testing
  - Application Training
  - Application Maintenance/Support

5.2.1 APPLICATION ANALYSIS

The analysis described below shall be presented to DRS in an easy to understand detailed report format. The vendor shall provide DRS with both a paper and electronic (MS Word) copy of the report.

5.2.1.1 Deployment Analysis

Vendor shall perform an analysis to assist DRS in determining the most effective means to deploy the EDIMS system. Considerations shall include but not be limited to use of web client vs. full client, distributed vs. centralized storage, etc.

5.2.1.2 Database Analysis

Vendor shall provide an analysis that will assist in determining the best method(s) to use for the management of index data, files, and objects across the DRS network. This analysis shall be conducted prior to the installation of the pilot system and detailed as part of the pilot. Vendor shall be required to work closely with DRS staff during this process.

5.2.1.3   Storage Analysis

The vendor shall perform a storage requirements analysis for data that will be included in the installation. Analysis shall include but not be limited to:
1. Determine the total annual storage requirements, as well as long-term, near-line and on-line requirements.
2. Evaluate the volume and characteristics of active storage requirements per day. Recommend appropriate storage devices depending upon document characteristics (i.e. magnetic/RAID, optical/worm, optical/erasable, optical/CD, and microfilm)
3. Analyze and recommend the storage method or methods to be used by DRS. This shall include the appropriate use of a distributed and centralized storage of files based upon their volume and characteristics and include the need for bulk transfer of data to other storage locations.
4. Identify permanent storage requirements, including those for regulated or mandatory storage.
5. Recommend method(s) and media for an appropriate backup of files and data.

5.2.1.4   Network & Communications Analysis

The vendor shall perform a communications requirements analysis to determine if the current network infrastructure will support the transmission of data for the complete EDIMS system prior to installation.

This shall include but not be limited to:
1. Audit of the current network to determine the current performance and utilization.
2. Calculating the impact of increased traffic.
3. Making recommendations for any changes needed.

5.2.2   **APPLICATION DEVELOPMENT**

The vendor shall be required to provide an application development plan for the project with all associated costs before starting the project. The plan shall address coordination with the installation plan, the agenda for integration/application development/software modification and the deliverables to be provided during application development.

5.2.2.1   Software Upgrades

The vendor shall provide a detailed explanation of how software upgrades are handled when the product has been customized to provide mandatory requirements and integrated with third party products. The vendor shall address this according to the following two scenarios:

1. The base EDIMS system is integrated with a third party product to provide imaging capabilities. (Note: If your system already includes imaging capabilities, substitute another function such as workflow, electronic forms, etc.)

2. Customization to the base EDIMS system is needed to provide one of the mandatory functions listed in the RFP.

5.2.3 INSTALLATION

The vendor must submit a high level installation plan that includes the pilot and the production-level implementation. The vendor shall submit a detailed installation plan after contract approval that must be accepted by DRS prior to installation. The creation and upkeep of the plan is the responsibility of the vendor. The installation plan must include:
1. The time frames for implementing the application.
2. The level of involvement of both vendor and DRS staff in each stage of the project.
3. The project deliverables.
4. The DRS staff training that shall be provided at each stage of the project.

The vendor must work closely with DRS staff during the installation process. DRS will identify the major steps within the process where a debriefing meeting will be held to analyze and redirect the installation. The vendor must provide the appropriate representation for each of these meetings.

Vendor must submit a bi-weekly progress report during the installation. Vendor must work with DRS staff to determine the contents of the report.

5.2.4 SYSTEM TESTING

The vendor must describe their approach and process for testing EDIMS. A system test plan must be provided to DRS. System testing to ensure that EDIMS is functioning and processing the data correctly must be performed and documented by the vendor. Usability testing must be conducted with specific groups of users for each application that is developed. This must be performed and documented by the vendor.

5.2.5 TRAINING

DRS staff consist of 265 persons of which approximately 70% have basic computer skills. DRS expects imaging to affect all units in the Agency and therefore assumes that all staff will require some level of training. DRS expects a large training effort will be required for the implementation of "basic imaging" and, in future phases, for the implementation of customized workflow. DRS training needs are expected to include:
1. Workshops (hands-on training in DRS's computer training facility)
2. "Train the Trainer" classes
3. "Just in Time" classes
4. "One on One" (limited need)

DRS will own all training materials. Training materials should be created in a widely used format, such as Microsoft Word, Visio, PowerPoint, or PDF.

DRS's technical staff will also require training. Vendor must specify what core "knowledge/skills" will be required for the technical staff.

Vendor must list the training options that are available for the proposed system including a recommendation for "Best Practices" approach. This must include at a minimum:

1. User Training (full client and web client)
2. System Administrator Training
3. Applications Development Training.
4. Software and Hardware Support Training
5. Interface Development Training

Vendor must list whether training is provided offsite or onsite, the duration of the training, and the level of the training. Vendor shall also specify what training a third-party supplier will provide. Vendor must indicate what training is viable for a "train the trainer approach" and list the courses that are provided for a trainer.

Vendor must work closely with DRS to devise a training schedule for users and the administrator.

Vendor shall specify fundamental Business Process Reengineering classes/training necessary for using vendor's workflow software, if any, and specify whether the vendor has the capability to provide this training.

5.3   SUPPORT

Vendor must describe their support organization including staffing levels, geographic support and technical support for hardware and software.

5.3.1   SUPPORT PROGRAMS AND OPTIONS

Vendor must describe the technical support options and costs for hardware and software. These may include telephone, dialup, onsite, e-mail, web site, etc. The response must indicate if the support line includes a toll-free number. If the telephone support line is not a toll-free number, then telephone support costs must be included as part of the cost evaluation.

5.3.2   TELEPHONE TECHNICAL SUPPORT

At a minimum, the vendor must provide responsive toll-free telephone technical support for hardware and software during DRS main business hours. (Weekdays, 6:00 a.m. - 6:00 p.m. Pacific Standard/Daylight Savings Time, excluding WA state holidays). This support shall be available during and after implementation.

5.3.3   ONLINE HELP & TECHNICAL DOCUMENTATION

Online help and technical documentation shall be available for DRS technical staff.

5.3.4 TECHNICAL PROBLEM RESOLUTION

The vendor shall provide four (4) hour response time for hardware problems and four (4) hour response time for software problems that significantly impact DRS' use of the licensed software. Vendor must describe how support for products included in the proposal but not supplied by the vendor will be provided.

5.3.5 OPERATING MANUALS

The vendor must provide documentation for all proposed hardware and software. The Apparent Successful Vendor must provide three (3) complete sets of operating manuals for each item of equipment and software installed.

5.3.6 OPERATING MANUAL UPDATES (MS)

Describe method of updating manuals. Costs of updating manuals on a continuing basis must be included as part of the maintenance estimate on the Cost Worksheet.

5.3.7 SOFTWARE MAINTENANCE LOG

Provide a detail maintenance log for the proposed vendor products listing all version upgrades, release patches, and maintenance alerts released since July 1, 1998. Include a problem/enhancement description and patch release or shipping dates for each.

5.3.8 APPLICATION OF SOFTWARE UPGRADES

Provide a description of the required steps needed to apply software patches and upgrades to the proposed vendor products, with any application or timeframe restrictions or considerations.

5.3.9 HARDWARE MAINTENANCE SCHEDULE

Provide an outline of a recommended production site maintenance schedule that would be required of DRS staff to perform in support of the proposed vendor hardware products. Include all daily, weekly, monthly and other regularly required maintenance events that would be necessary to support and maintain operations.

6 VENDOR INFORMATION – VIABILITY & VISION

This section provides information about the vendor. If the vendor is a system integrator and the proposal is based on another vendor's imaging software product, information for both companies must be provided. Failure to provide the information specified in this section will result in disqualification.

6.1 COMPANY INFORMATION

Vendor must provide a summary of the company, including company history, businesses, location, telephone number, management staff, and other relevant company information.

6.2 PRODUCT INFORMATION

The vendor must list and describe the products and services that they provided to other clients including the release date, installed customer bases, customers using the product.

6.3 FINANCIAL INFORMATION

The vendor must provide their annual reports for the last three years. If the vendor is not a public company, financial statements including Profit & Loss, Balance Sheet, and Cash Flow Statements shall be provided.

6.4 VISION

The vendor must provide their vision for the future in regard to company, product, and services and support. Specifically, the vendor should discuss how it expects to differentiate itself from its competitors.

6.4.1 COMPANY VISION

The vendor must provide their vision for the company over the next 3-5 years. Include how the vendor will grow the company in terms of revenues and profits.

6.4.2 PRODUCT VISION

The vendor must provide their vision for the products that will be developed 6 months to 3 years out. Focus should be on what product enhancements are planned over the next year.

6.4.3 SERVICE & SUPPORT VISION

The vendor must provide their vision how they will enhance their services and support capabilities over the next year.

6.5   VENDOR REFERENCE ACCOUNTS

Reference information must be provided to demonstrate the vendor's experience in the implementation of imaging applications. Of particular interest is experience with other state retirement systems application engagements. Vendor must provide the following:

- A brief statement explaining their experience in installing and servicing both EDIMS and State Retirement Systems.

- A minimum of three client references and a list of all similar engagements over the last year. The purpose of these references is to substantiate the experience of the vendor. References may be contacted to respond to a list of questions used to evaluate their satisfaction with the vendor's:
  - equipment
  - software
  - maintenance
  - project and human-relations responsiveness
  - overall support

- If the vendor is a systems integrator, the references provided should include the implementation of the proposed imaging software product. The vendor should also have operated as the "prime contractor" for the references provided. Additional references may be included.

- Each reference should include the following information:

  - Company name
  - Company address
  - Contact name
  - Contact telephone number
  - Brief description of installed system including hardware, software, number of users, etc.
  - Number of system users
  - Date installed
  - Specify whether the customer has been using the equipment and software proposed in this RFP response.
  - Specify whether the customer is presently using the vendor's maintenance program.

- The vendor shall specify how DRS should contact the references. The Evaluation Committee may contact each reference. The contact shall be the person who is directly involved in the administration or maintenance of the system (not the procurement officer).
- DRS reserves the right to obtain reference information from sources other than those reported in the vendor's proposal and use that information in evaluating the vendor.

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7 COST PROPOSAL

This section must describe the costs associated with the implementation of the system. This cost proposal will be used to evaluate the vendor's application. This section and all the specified requirements are mandatory. Failure to submit the details required will result in disqualification.

7.1 COST CONTENTS

The vendor must provide the following:

- A price schedule for ALL software and services needed to meet the requirements that are outlined in this RFP. If additional software and/or services (including customizations) are required to meet a specification, this shall be itemized in the Cost Worksheet and shall be clearly identified. The itemization shall be such that, should DRS decide that they do not want a specific customization, the associated cost can be easily identified.

- A price schedule for additional hardware (including detail specifications) is required to meet the mandatory specifications. DRS shall have the option to procure the hardware from the vendor through a separate procurement process.

- DRS intends to implement a pilot to establish the functionality of the imaging application and identify any major problems. DRS intends to establish a firm fixed-price for the pilot installation of the system. Therefore, the cost section shall separate all costs for the pilot (software and services).

- DRS intends to outsource the backfile conversion of its existing records. The vendor may submit a proposal for this project or partner with a 3rd party supplier to provide these services. The details for the backfile conversion are described in Appendix B.

- Any anticipated travel expenses must be incorporated into the vendor's fee. Travel expenses do not need to be itemized. Travel expenses cannot be paid on an "as incurred basis," an "out of pocket" basis, or as "miscellaneous or sundry."

7.2 COST WORKSHEET

A Cost Worksheet must be completed for the software, hardware, maintenance and professional services. The vendor shall provide both the list price and discount prices in the proposal. It is understood that the component and licensing structure for an EDIMS will vary from vendor to vendor. The Cost Worksheet includes the basic application modules DRS expects will be needed. If this functionality is provided by another module (for example the base system does not include image capture and this functionality is provided by a separate component), the vendor must provide a clear explanation in the description field.

7.2.1 SOFTWARE COSTS & PRICING

- Provide the total software costs for the imaging system.

- Provide a chart explaining the licensing structure and costs for all software modules. Describe the pricing model – per user, per server, per concurrent users, etc.

- Provide a brief description of the functionality provided for each software component. This is extremely important should the vendor include software modules in addition to those listed by DRS. The descriptions will assist the Evaluation Committee in clearly identifying what components are included to meet mandatory and desired specifications.

7.2.2 HARDWARE COSTS & PRICING

- Provide the total hardware costs for the imaging system.

- List manufacturers, warranty periods, maintenance costs and any discounted prices for each of the recommended hardware products (scanners, optical storage, printers, servers, etc.). DRS reserves the right to use existing infrastructure components where feasible.
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7.2.3 MAINTENANCE (SUPPORT) COSTS & PRICING

- Provide the total maintenance costs for the imaging system.

- Provide the annual maintenance costs for the software over a four year period. If the initial year is included in the system, the vendor shall indicate this and list the price for each three subsequent years. Prices should be itemized where possible.

- Describe the maintenance plans or options available and the levels of support. These include hours of availability for support, guaranteed response times, etc.

7.2.4 PROFESSIONAL SERVICES COSTS & PRICING

Professional Services include the activities outlined in section 5.2, Project management and Development Services, including but not limited to project management, installation and system integration activities, and training.

- Provide the total professional services costs for the imaging system.

- Identify and itemize the costs for any third party services included in the proposal. The hourly costs must be identified by project role as well as the time required for each task.

- Provide the costs for the proposed training program. This must include the cost per user and identify whether it is provided by the vendor or a partner.

APPENDIX A
REQUIREMENTS FOR PILOT IMPLEMENTATION

I.   Overview.

DRS will install a pilot version of the Electronic Document Image Management System to introduce basic imaging and workflow functionality. The pilot system will be used to evaluate the benefits of imaging and workflow technology, as well as the capability of the proposed system to operate within DRS's existing business and technological environment.

DRS and the vendor will establish a baseline measurement of the selected processes prior to the start of the pilot. These measurements will include but are not limited to:

- Total number of documents processed
- Total number of documents processed by individual users
- Amount of time required to process a document
- Amount of time required to process a defined number of documents
- Number of documents returned for additional information.

This will provide a reference for comparing current manual processing with the new automated methods of processing transactions.

The specific technical requirements for the pilot may vary since it is dependent upon the solution proposed for the full implementation. Therefore, DRS will present vendors with specific requirements along with general functionality required, and vendors may propose a technical solution that fits into the system proposed for the full implementation.

II.   Required Functionality

- The following tasks must be completed prior to pilot implementation:

  1. Hardware and network load testing has to be completed and results documented.
  2. Initial system and network performance tuning completed.
  3. Baseline measurement documented for the current system and for network performance.
  4. Users and support personnel will have received training to support their individual roles during the pilot.
  5. Draft documentation completed covering system operation and user procedures for the pilot process.
  6. Two or more processes for the selected DRS unit will have completed business process evaluation, business reengineering and workflow development.

The pilot system must support the following capabilities and features:

- The pilot system must operate in the same environment as the full implementation.

- The scanner(s) proposed for the pilot must be the same as will be used for the full implementation.

- The pilot system must support the scanning and processing of all document types from within the designated pilot business unit and process. Documents will include various paper sizes of white and colored paper, as well as faxes, carbon copies and handwritten documents.

- Documents to be scanned will include both single-sided, double-sided and multipage documents.

- There must be one or more methods of batch processing.

- Scan resolutions of 200 DPI and 300 DPI must be supported for Black and White, and Grayscale. Scan resolutions of 100 DPI or greater must be supported for color.

- The system must support document quality control procedures and rescan processing.

- Documents scanned must be stored such that the document can be retrieved using indexed values. Additional documents (e.g. Legal forms and litigation documents) must be stored to allow retrieval of document and information using either indexed values or "full text search" technology.

- Image files must be compressed to maximize available image storage and to reduce traffic on the network. Stored images should be in a format that provides easy conversion to an Internet compatible format.

- Index elements and database structure must be the same as for the full implementation. The capability must exist to change entered values in indexed fields.

- Verification of the SSN and other critical index information must be supported the same as for the full implementation. The following procedure provides an example of acceptable methodology for verification of SSN.

  The SSN, retirement system, and partial last name will be passed to a NATURAL application which will determine if there is a match of the SSN/system/name on the mainframe system ADABAS database (most documents received will pertain to members already on the system, so a match should be found if the index values were entered correctly). If a match is found, the SSN should be correct and the image and index data can be stored. If the information was keyed correctly and there is no match, one of two events will occur: 1) If the document is an enrollment form, it is possible the individual is not on the system or the form may be for a name change. These documents will be routed to a specialized queue. The person working this queue will be required to key in the SSN again and the system will compare both entries to assure a match. 2) If the document is not a membership form, it must be researched to determine if it has the correct SSN or if it should be added to the system. These documents will be routed to a specialized research queue.

- The system must pass the SSN and the partial last name to a (NATURAL) application.

- The capability must exist to route documents for which an SSN cannot be found or verified, to specialized research queues.

- The system must support a research queue, which allows the user to view a document and re-enter the SSN. The system must then compare the re-entered SSN to the original SSN entered during the initial indexing. If the two SSN's don't match, the system will not allow the index entry and will give the user a message. The user will have the ability to override and enter a new index if the initial entry was incorrect.

- There must be automated methods for verification of document type codes and other index data not available from the mainframe. Automated indexing functionality must be available for color scan, black and white scan, and grayscale scan.

- Image storage for the pilot must be on both magnetic and optical media. The magnetic and optical storage used for the pilot must be used for online/nearline image storage in the full implementation.

- The system must provide basic input reports. The following reports are listed as a guideline and should not be considered as all-inclusive.

  1. Number of images scanned, inspected (QC) and indexed, for a given time period (by document type and in total).
  2. Total number of scan batches completed for a given time period.
  3. Total number of rescans for a given time period.
  4. Audit reports for document access (who accessed, when accessed and what was done to the document).
  5. Number of documents waiting in the index queue.
  6. Audit trail of documents being processed (who has document, how long have they had the document, where is the document in the workflow process, how long did it take to process the document, amount of time each user spends processing a document).

- The system must allow simultaneous viewing of a document image, an IBM terminal emulation window, a PC application window and an electronic mail application window.

- The pilot must support basic document workflow (GUI based) with the following minimum functionality:

  - Sequential routing of documents
  - Parallel document routing with a rendezvous feature
  - Conditional routing
  - Time limits
  - Prioritization of documents
  - Work measurement
  - Pending function

- Definition of individual and group work queues
- Multiple list order options for documents in work queues - based on a database field and controllable by users
- Access control and security of all workflow elements
- Workflow administration functions
- Script, queue creation and maintenance
- Access to any queue
- Move tasks from one queue to another
- Management reports
- Multiple user access of work queues
- Retrieval and viewing of COLD documents under direct control of workflow

- Backup and recovery features must be available for all stored data. This includes but is not limited to: system software, applications, indexes, database(s), data, images stored on magnetic media and images stored on optical media.

- Storage reports and other system management reports must be available. These include but are not limited to: system and network performance, system and network "conditions" monitoring, security access and violations.

- The system must support ad-hoc image retrieval (the ability for users to view or print any document image, for any member, at any time), within the constraints of the security system.

- The same document image display subsystem must be used for full implementation. This is for document display via workflow or through ad-hoc retrieval. The following specifications are provided as a guideline for acceptable display systems standards:

  1. The ability to manage and control multiple documents.

  2. The ability to manage and organize multipage documents.

- The image display subsystem must support the following features:

  1. Full pan and scroll.
  2. Zoom – to multiple levels.
  3. The ability to view, add, and modify annotations, while maintaining the document integrity during simultaneous multi-user accesses.
  4. Image rotation of 90, 180 and 270 degrees.
  5. Display multiple full documents on one screen.
  6. Display postage stamp or thumbnail, icon-sized documents.
  7. Display portions of the document including ¼, ½, ¾ and custom sizing.

- Requested images must be displayed within three (3) seconds for magnetic stored documents and five (5) seconds for optically stored documents.

- The system must support printing capabilities for images on both network and local printers.

- All software used in the pilot must be the current version of production software. Software must have the same capabilities and capacities as the software for full implementation.

- The pilot system must have security capabilities to restrict access to images and other system functionality by user, group, document or document type.

- The pilot system must have the automated capability to archive images from magnetic storage to optical storage. This includes but is not limited to archive by date, document type and time since last document access.

- The pilot system must integrate with other DRS automated systems (e.g. mainframe data, MS Office products suite, MS Exchange electronic mail), as in the full implementation system.

III. List of Pilot Components

Vendors must include a list of all pilot system components, fully describing all hardware, software and processes (the same as required for the full implementation).

IV. Plan to Move to Full Implementation

Vendors must submit a detailed plan for phasing the pilot system into the full implementation. Emphasis must be placed on utilizing existing pilot hardware, software, and applications while minimizing throwaway costs and development efforts.

APPENDIX B
REQUIREMENTS FOR BACKFILE CONVERSION

This section will be used to evaluate the vendor's solution for backfile conversion. DRS will review the vendor's proposal for backfile conversion and determine if the projects will be combined. DRS will not consider the backfile as a part of the contracted effort of this RFP. A separate RFP will be issued later for this effort. Vendors are not required to respond to this section.

I.   Overview

It is difficult for DRS to determine and list all of the specific technical requirements for the backfile effort because they could vary greatly depending on the imaging solution proposed. Therefore, DRS will present vendors with the parameters required for the backfile effort, along with some specific requirements, and let vendors propose technical solutions that fit into the system proposed for the full implementation.

DRS plans to backfile image approximately 3,000,000 pages of selected paper documents maintained in member folders at an offsite fileroom location. A second backfile conversion effort to address 350,000 pages of microfiche and film is also required. All backfile operations will be conducted on site at the fileroom location. A microfilm/fiche backup copy must be produced of all committed documents.

Backfile duration is negotiable but must be completed by June 30, 2001.   Production backfile operations will start after the production imaging system is operational.

Sufficient space for the additional vendor staff and equipment is currently available at the file room site and will be provided by DRS. DRS will also provide network connections and other telecommunications, power and lighting. The selected vendor will be responsible for workstations for vendor staff, all backfile servers, jukebox(es), filming equipment and other hardware and software required, as well as related maintenance costs.

Responding vendors should indicate their capability, approach and willingness to conduct or sub-contract the backfile efforts and indicate supporting costs as a part of this RFP's pricing section, with cost and item separation for the paper and film efforts.

II.   Functionality Requirements

 Prior to start of the backfile, the following items need to be completed:

1. Hardware and software provided by the vendor must be installed and operational.
2. Network load testing completed and acceptable results documented.
3. Initial image and indexing quality check completed.
4. Baseline backfile workflow procedure completed, documented, tested and accepted.

5. System and network performance and management tools evaluated and accepted.
6. DRS technical and support personnel have received training to support their individual roles during the backfile.

The backfile system for paper conversion, and fiche where applicable, must support the following capabilities and features:

- The backfile system must operate in the same environment as the planned production DRS imaging system and environment.

- The scanner(s) and software proposed for the backfile must be the same brand and model (or version) as those proposed for the production imaging implementation. If they are not, the vendor must provide the same capabilities and prove that the resulting scanned and indexed images are identical.

- The scanner(s) and software proposed for the backfile will be provided by the vendor and remain the property of the vendor after the conversion.

- Scan resolutions must be the same as those proposed for the production imaging system. Resolutions of 200 DPI and 300 DPI for Black and White, and Grayscale, and 100 DPI or greater for color are required.

- The backfile system must support the scanning and processing of all Agency historical document types. Documents will include various paper sizes of white and color paper, as well as faxes, carbon copies and handwritten documents.

- Many of the documents require duplex processing. The ability to identify and eliminate blank pages during the data capture process is required.

- The backfile workflow system must support specialized document quality control procedures and rescan processing to support unique backfile requirements.

- Index elements and database structure must be the same as for the production imaging system. The capability must exist to change entered values in indexed fields.

- A "paper" backfile "batch" will consist of all documents in a given member's folder. Most folders have a bar-coded label containing the member's SSN and retirement system. The label information will be used to index when present. Bar-coding features will be required for the backfile conversion process. If the label is not present, the whole batch will be routed to a special research queue.

- A "fiche" backfile "batch" will consist of all documents on a given fiche. Microfilm scanning will be required. Control characters on the fiche will be used as high-level indexes.

- Verification of the SSN and other critical index information must be supported the same as for the full implementation. The following procedure provides an example of acceptable

methodology for verification of SSN:

The SSN, retirement system, and partial last name will be passed to a NATURAL application that will determine if there is a match of the SSN/system/name on the mainframe system ADABAS database. All documents will pertain to members already on the system, so a match should be found if the index values were entered correctly. If a match is found, the SSN should be correct and the images and index data can be stored. If the information was keyed correctly and there is no match, the documents will be routed to a specialized research queue.

- The capability must exist to route documents for which an SSN cannot be found or verified, to specialized research queues.

- The system must support a research queue that allows the user to view a document and re-enter the SSN. The system must then compare the re-entered SSN to the original SSN entered during the initial indexing. If the two SSN's don't match, the system will not allow the index entry and will give the user a message. The user will have the ability to override and enter the index, if the user determines the initial entry was incorrect.

- There must be automated methods for verification of document type codes and other index data not available from the mainframe. Automated indexing functionality must be available for color scan, black and white scan, and grayscale scan.

- Image storage for the backfile must be on both magnetic and optical media. The magnetic and optical storage must be available for online/nearline image storage in the full implementation. A storage management capability for migration of the images from magnetic storage to optical storage is required.

- Several document types, such as legal forms and litigation documents, must be stored so as to allow retrieval of document and information using either indexed values or "full text search" technology. This represents a small percentage – less than five (5) percent – of the documents being converted.

- The system must provide basic input reports. The following reports are listed as a guideline and should not be considered as all-inclusive.

  1. Number of images scanned, inspected (QC) and indexed, for a given time period (by document type and in total).
  2. Total number of scan batches completed for a given time period.
  3. Total number of rescans for a given time period.
  4. Number of documents waiting in the index queue at any given time.

- The system must allow the simultaneous viewing of a document image in an IBM terminal emulation window, a PC application window, and an electronic mail application window.

- The backfile system must support a unique GUI- based backfile document workflow (GUI

based) with the following minimum functionality:

- Sequential routing of documents
- Parallel document routing with a rendezvous feature
- Conditional routing
- Time limits
- Prioritization of documents
- Work measurement
- Pending function
- Definition of individual and group work queues
- Multiple list order options for documents in work queues - based on a database field and controllable by users
- Access control and security of all workflow elements
- Workflow administration functions
- Script, queue creation and maintenance
- Access to any queue
- Move tasks from one queue to another
- Management reports
- Multiple user access of work queues
- Retrieval and viewing of COLD documents under direct control of workflow

- Documents must be accessible by end-users immediately after a batch quality check is verified and images are released for production viewing.

- The backfile system must have security capabilities to restrict access to images and other system functionality by user, group, document or document type.

- The backfile system must have the automated capability to archive images from magnetic storage to optical storage. This includes but is not limited to archive by date, document type and time since last document access.

- The backfile system workflow must integrate with the Mainframe data, as in the production imaging implementation.

III.   List of Backfile Components

Responding vendors must include a list of all backfile system components fully describing all hardware, software and processes (the same as required for the production imaging implementation).

IV.   Plan for Move to Full Implementation

Responding vendors must submit a detailed plan for phasing the backfile system into the production imaging implementation. Emphasis will be placed on:

- How the vendor will be utilizing vendor staff and Agency staff.
- Identification of all backfile hardware and software components.
- The effort required for backfile-specific workflow procedure development, if applicable.

APPENDIX C
REQUIREMENTS FOR YEAR 2000
AND
STATE OF WASHINGTON: YEAR 2000 PROTECTION AND WARRANTY LANGUAGE CERTIFICATION

1) The vendor warrants that the proposed system for EDIMS is Year 2000 compliant as defined below. This warranty is perpetual and shall survive through the termination of this agreement. For the purposes of this agreement, the following definitions shall apply:

   i) "Date Data" means any data, formula, algorithm, process, input or output which includes, calculates, or represents a date, a reference to a date, or a representation of a date, including, but not limited to the following:

      a) No value for *current date* will cause any interruption in operation. *Current Date* means today's date as known to the record keeping system.

      b) Date-based functionality will behave consistently for dates prior to, during, and after year 2000. General date integrity will include, but is not limited to:

         1999/09/09
         1999/12/31
         2000/01/01 Saturday and not Monday as in 1900/01/01
         2000/01/02 Sunday and not Tuesday as in 1900/01/02
         2000/02/29 Tuesday
         2000/03/01 Wednesday
         2000/12/31
         2001/01/01
         Year 2000 is recognized as a leap year.

         Dates will role over correctly from/to:

         1999/12/31 to 2000/01/01
         2000/02/28 to 2000/02/29
         2000/02/29 to 2000/03/01

      c) In all interfaces and data storage, the century in any date will be specified either explicitly or by unambiguous algorithms or inference rule.

   ii) "Year 2000 Compliant" means:

a) The functions, calculations, and other computing processes of EDIMS (collectively "processes") perform in a consistent manner regardless of the date in time on which the processes are actually performed and regardless of the Date Data input to EDIMS, whether before, on, during or after January 1, 2000 and whether or not the Date Data is affected by leap years;

b) EDIMS accepts, calculates, compares, sorts, extracts, sequences, and otherwise processes Date Data and returns and displays Date Data, in a consistent manner regardless of the dates used in such Date Data, whether before, on, during or after January 1, 2000;

c) EDIMS will function without interruptions caused by the date in time on which the processes are actually performed or by the Date Data transmitted to EDIMS, whether before, on, during or after January 1, 2000;

d) EDIMS accepts and responds to two-digit year-date input in a manner that resolves any ambiguities as to the century in a defined, predetermined, and appropriate manner;

e) EDIMS stores and displays the Date Data in ways that are unambiguous as to the determination of century;

f) No Date Data will cause EDIMS to perform an abnormally ending routine or function within the processes or generate incorrect values or invalid results.

2) The vendor warrants that EDIMS has been tested by the vendor to determine whether EDIMS is Year 2000 compliant. The vendor shall notify DRS immediately of the results of any test or any claim or other information that indicates that EDIMS is not Year 2000 compliant.

3) The vendor agrees to indemnify and hold DRS and its officers, directors, employees, agents, successors, and assigns harmless from and against any and all claims, suits, actions, liabilities, losses, costs, reasonable attorney's fees, expenses, judgments or damages, whether ordinary, special or consequential, resulting from any third-party claim made or suit brought against DRS or such persons, to the extent such results from the vendor's breach of the warranties contained in this section.

4) Time is of the essence on Year 2000 issues. If either party identifies an actual or potential Year 2000 compliance problem, the parties' contract managers or their designees will confer immediately, and in no circumstance later than thirty-six (36) hours following discovery of the problem. The purposes of the conference shall be to identify the problem, the potential effects, the possible causes and possible solutions.

The vendor shall identify the possible causes for the problem and the possible solution, and shall communicate that information to DRS. The vendor and DRS shall devise a mutually acceptable written plan and allocate appropriate resources and personnel in attempting to

verify and correct the problem, and the time frame within which the work should be accomplished. If the parties cannot develop a mutually acceptable plan within ninety-six (96) hours after discovery of the problem, the vendor shall be in breach of this agreement. DRS, however, may in its sole discretion extend the time for developing the mutually agreeable plan beyond the 96-hour period.

In the written plan, the vendor shall, at its expense, commit the resources necessary to correct any nonperformance, error, or defect. The vendor shall deliver the correction to DRS at a date mutually agreed upon. In the event a mutually acceptable date cannot be agreed upon, the schedule and priority for repairs shall be in the sole discretion of DRS. The vendor shall use its best efforts to work with DRS on any problems, including the plan to verify and correct the problems, that the contract managers or their designees identify in their meetings. If the vendor contracts with another company or an independent contractor to carry out its obligations to DRS under this section, the vendor shall include in its contract with the other company or contractor the obligations contained in this section. It is the responsibility of the vendor to repair or replace EDIMS.

STATE OF WASHINGTON: YEAR 2000 PROTECTION AND WARRANTY CERTIFICATION

The Vendor warrants that any software and/or hardware provided pursuant to this contract will be Year 2000 compliant. This warranty includes a representation that dates on and after the Year 2000 do not cause computational problems nor do these dates diminish the functionality of the software and/or hardware including, but not limited to, date data century recognition calculations that accommodate same century and multi-century formulas and date values, Year 2000 leap year calculations, and date data interface values that reflect the century. Failure to comply with Year 2000 requirements shall entitle the Agency to a refund of three (3) times the initial software license fee and/or three (3) times the contracted costs of hardware as liquidated damages. The Vendor has no liability for any failure to comply with this provision that is caused solely by failure of an interconnected third-party product to be Year 2000 compliant.

Signature of Respondent	Title	Date

APPENDIX D
SAMPLE WORKFLOW

Process: Death in Service (More than 10 years of service credit), TRS 1, 2, and 3

RSA: Retirement Services Analyst

Document from Office Assistant (2)

phone call

Mbr In

RSA
Orders mbr file; See TSK-DEASVC-003, "Processing Death in Service Benefits +10" for further details.

RSA Prepares Letter

RSA reviews, signs and sends letter

Wait for forms to be returned

Are forms returned within 60 days?

No

RSA Sends another copy of original letter to beneficiary

Yes

RSA logs info in CORPLOG

Does Beneficiary choose a continuing option?

Yes

RSA
If beneficiary chooses continuing benefit, update BENDEP screen to show survivor and add appropriate information re: ADP and address; Log onto to LOGRET to create retirement for the beneficiary and forward file and forms to originating RSA
Be sure to verify EMSP

RSA
Verify & update date of death on MBR screen; Place "Y" in Death Certificate Rec'd field; see "Service Retirement" flows for details; CALC (SR002A) RECALC (SR003)

No

Pay as a WITHREQ (withdrawal request) (see "Withdrawals workflow)

Forms used in this process:
Deceased Retiree Worksheet
Claimant Certificate
W4P (income tax)
Authorization for Deposit of Payments
Request for Final Distribution To Beneficiary

APPENDIX E
SAMPLE CONTRACT

APPENDIX F
CERTIFICATIONS & ASSURANCES FORM

I/we make the following certifications and assurances as a required element of the proposal to which it is attached, understanding that truthfulness of the facts affirmed here and the continuing compliance with these requirements are conditions precedent to the award or continuation of the related contract(s):

1. I/we declare that all answers and statements made in the proposal are true and correct.

2. The prices and/or cost data have been determined independently, without consultation, communication, or agreement with others for the purpose of restricting competition. However, I/we may freely join with other persons or organizations for the purpose of presenting a single proposal.

3. The attached proposal is a firm offer for a period of 120 days following receipt, and it may be accepted by DRS without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the 120-day period.

4. In preparing this proposal, I/we have not been assisted by any current or former employee of the state of Washington whose duties relate (or did relate) to this proposal or prospective contract, and who was assisting in other than his or her official, public capacity. (Any exceptions to these assurances are described in full detail on a separate page and attached to this document.)

5. I/we understand that DRS will not reimburse me/us for any costs incurred in the preparation of this proposal. All proposals become the property of DRS, and I/we claim no proprietary right to the ideas, writings, items, or samples, unless so stated in this proposal.

6. Unless otherwise required by law, the prices and/or cost data which have been submitted have not been knowingly disclosed by the Proposer and will not knowingly be disclosed by him/her prior to opening, directly or indirectly to any other Proposer or to any competitor.

7. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached sample contract and general terms and conditions. If there are any exceptions to these terms, I/we have described those exceptions in detail on a page attached to this document.

8. No attempt has been made or will be made by the Proposer to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

_____   _____
Signature of Proposer   Date

APPENDIX G
COST WORKSHEET

The following Cost Worksheet shall be completed to provide DRS with a detailed breakdown of individual item costs. Relevant detail or items should be included.

Cost Worksheet					
Item	Unit Cost (For Service & Support, specify daily rates)	Maintenance Cost (Hardware & Software)	Warranty Period (Hardware & Software)	Pilot	Enterprise-Wide Implementation
• Software					
License Costs					
Data Server OS					
Workstation OS					
Application					
Communication Link					
• Hardware					
Workstations					
Servers					
Scanners					
Printers					
Optical Storage Devices					
Tape Drives for 6250 dpi					
Monitors					
• Communications					
Software					
Hardware					
• Support					
• Professional Services					
Project Management					
Change Management					
Installation					
Application Analysis					
Application Development					
Testing					
Training					
Other					
• Documentation					
• Other					

APPENDIX H
DIRECTIONS TO PRE-BID CONFERENCE

[DRS Welcome Page]   Map to the NEW Building

From the North

- Take I-5 South to Exit 101, "Airdustrial Way."

- Turn left at the light onto Airdustrial Way and go back over the freeway.

- Turn left on Capitol Boulevard.

- Drive approximately 1/2 mile.

- The DRS building is located on the left hand side of Capitol Boulevard.

From the South

- Take I-5 North to Exit 101, "Airdustrial Way."

- Turn right on Airdustrial Way.

- Turn left on Capitol Boulevard.

- Drive approximately 1/2 mile.

- The DRS building is located on the left hand side of Capitol Boulevard.
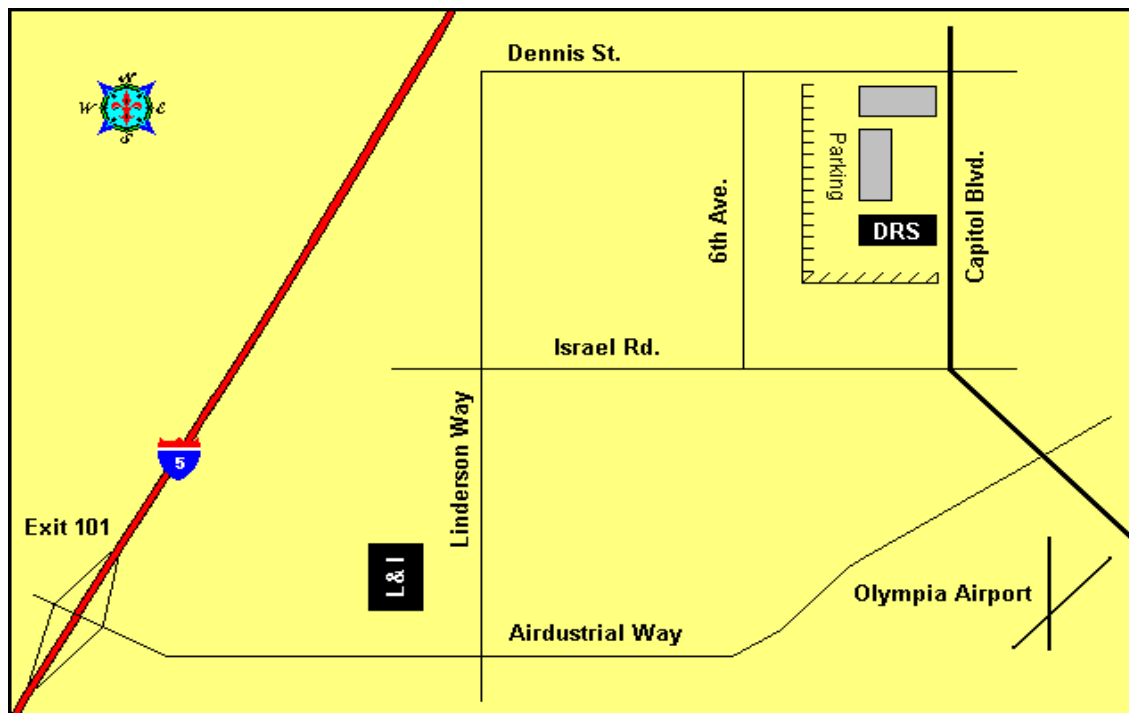
APPENDIX I
EDIMS RFP RESPONSE CHECKLIST

This checklist is provided to assist vendors in ensuring the completeness of their proposals. It does not relieve the vendors of their responsibility to thoroughly read the RFP and add any items not on this list. DRS does not assume responsibility for any omissions.

Response Items - General	Where Referenced	✔
Separate proposals for each bid	1.6.1, 1.7.4	

Volume 1 – Technical Proposal Response Items	Where Referenced	✔
Cover letter	1.6.11	
Table of contents	1.6.11	
Executive summary	1.6.11	
Vendor registration information	1.5.2	
State retirement systems experience	1.5.3	
Subcontractor & third party vendor information	1.5.1	
Overview of proposed application	1.6.11	
Certifications and Assurances Form	1.9.9, Appendix F	
Y2K Protection and Warranty Certification	Section 2.11, Appendix C	
Addenda	1.6.11	
Itemized list & diagram of proposed hardware and software	1.6.11	
Technical description of hardware and software	1.6.11	
Responses to technical requirements – functionality	Section 3	
Responses to technical requirements – system architecture	Section 4	
Responses to services & support requirements	Section 5	
Responses to GartnerGroup Decision Drivers Evaluation	Addendum A	
List of pilot components	Appendix A, Section III	
Plan to move pilot to production	Appendix A, Section IV	
List of backfile components (optional)	Appendix B, Section III	
Plan to move backfile procedure to production (optional)	Appendix B, Section IV	
Supplemental materials	1.6.11	

1 of 2

Volume 2 – Financial and Cost Proposal Items	Where Referenced	✔
Responses to Vendor Information and Financial Responsibility	Section 6	
Responses to Cost Proposal	Section 7	

2 of 2

APPENDIX J
AGENCY FACTS & FIGURES SUMMARY

Current Environment:

Historical Data (as of June 1999)

855,000 members with history

302,000 member folders in archives - off site
553,000 member folders on site (remote Agency site)
   2,500 to 5,000 Member folders on the floor
     300 (minimal) number of folders recalled from archives each month
       Infrequent events to mass pull and move folders to archives

200,000 inactive or withdrawn folders subject to archiving
353,000 active and retired member folders to be imaged

10,000,000 pages (est.) are filed within the 553,000 on site folders
  7,000,000 pages are subject to purging prior to imaging

280,000 (avg.) members contributing each month
98,000 (avg.) retirees/survivors being paid each month

Average New Data from January - June 98

  2,000 new members each month
20,000 new pages per month, most clustered in a few accounts
14,000 new pages will have short-term retention and disposal
  6,000 new pages will have long-term retention of up to 80 years

File Folder Usage (paper intensive - no microfiche)

7,000 Member folder requests each month
1,000 DCP Participant Activity Requests each month

Staff	Section		Future Image Access
95	Retirement Benefit Specialist Staff - heavy access		85% of 7,000 requests
20	Administrative Support -	heavy access	10%
10	DCP Customer Svc Reps	heavy access	10% (100% of DCP activity)
20	Employer Support -	moderate access	2%
5	Legal Staff -	moderate access	2%
35	Executive and Other Support -	minimal access	<1%
50	Information Systems Support -	minimal access	<1%
30	Others -	limited or no access to Member folders	
265			

Deferred Compensation Program (DCP)

38,000   Film packets (10 page each avg)
1,000   Service events (forms) a month
With very few exceptions, DCP participants are the same clients as Retirement Services staff serves.

Fax Information

Estimated number of faxes out, per month	30 to 60
Average number of pages faxed per document	2 (from 1 to 15)
Estimated number of faxes in	Very low
Hours of faxing	6:00 a.m. to 6:00 p.m. Monday through Friday, PST

Over time, the volume of faxes is expected to increase. The quality of faxes received ranges from fair to good. There is no LAN support for local document faxing.

Business Environment:

Location

1   Building site – New with infrastructure planned to support imaging
3   Floors in one building
40%   of image retrieval activity located on floor 1
50%   of image retrieval activity located on floor 2
10%   of image retrieval activity located on floor 3
All   Member paper folders are located at a remote Agency site
All   Back file imaging will occur at the remote Agency site
All   New business scanning activity will be located on site, centralized.
          (Preparation and scanning rooms are in-place, with wire and power)

Business:
- Social Security number is key for locating member data and folders
- DRS serves members and retirees of six retirement systems in ten separate plans
- Member could have a separate folder for more than one system
- Approximately 1,235 employers report monthly. (The majority report retirement information to DRS using electronic methods.)

Major Member Processes:	**Avg Number Each Month**	**Pgs Each**	**Total Pgs**
Enrollment (members & employers)	2,000	1	2,000
Withdrawals	350	1	350
Benefit estimates	850	1	850
Service credit adjustments	135	4	540
Retirements	350	6-8	2,800
Death & disabilities	275	4-6	1,100
Survivor benefits	125	4	500
Legal appeals and legal order payments	3	10-200	400

Estimate average number of member pages per month: 8,500

Other Processes (Major Index):	**Avg Number Each Month**	**Pgs Each**	**Total Pgs**
Employer Based Processes (Employer ID)	2,000	3	6,000
DCP Based Processes (SSN)	2,000	1	2,000
Employee Services (SSN or Position No.)	500	1	500
General Administrative forms (Various)	2,000	1	2,000

Estimated average number of other pages per month: 10,500

Estimated average number of pages per month: 19,000
Factor for duplex and not identified: x 2.5
47,500

ESTIMATED AVG TOTAL PAGES PER MONTH: 55,000 to 66,000

Note: Anticipated volumes for imaging COLD reports have not yet been defined. There is a potential of from 7,500 to 17,500 COLD documents per month, which has been included in the estimated average total pages per month figure above.

EDIMS PROJECT MILESTONES:

12/1997	**- Submit updated Feasibility Study to Legislature**
7/1997 - Ongoing	**- Preparation and Support Efforts for Imaging**
1/1998 - 12/1998	**- New Building Project - Imaging put on hold**
1/1999	**- Funding Became Available**
1/1999 - 9/1999	- Select vendor (RFP Process)
10/1999 - 4/2000	- Install equipment and basic workflow
4/2000 - 6/2001	- Perform Backfile Imaging
4/2000 - 12/2005	- Customized Workflow Development - (Phased 4-6 month efforts)

Technical Environment:

Desktop Platforms

- Desktop Workstations include 265+ Workstations – including Pentium 233 Mhz 64-96MB ram, Pentium II 233 Mhz 64-128 MB ram, Pentium II 450 Mhz 128 MB ram and Pentium III 450 Mhz 128 MB ram.
- Desktops include Microsoft Exchange/Outlook for e-mail, Microsoft Office Suite, Attachmate 3270 emulation, VISIO professional/enterprise, Microsoft Project
- Desktop Operating Systems are Windows 95 (98%), Windows NT Workstation (2%)
- Cornerstone 21-inch, P1500 Color monitors on all image-enabled desktops (200+)

DRS plan 1/3 replacement of low-end desktops annually.

Network Platforms

- Novell NetWare 5.0 Server and Microsoft NT Server 4.0
- Ethernet 10/100 BaseT with 100 MB NIC cards in all PCs
- 450T Bay Network 10/100 BaseT auto sensing switches
- 1200 Accelar Bay Switch for backbone connectivity
- 1 GB fiber backbone

Please reference **Appendix K – Network and Facility Layout Diagram**

Server Platforms

Current server configurations include:
> 2 Pentium single CPU (dual capability) P11-350 Mhz, 523 meg ram, 45GB RAID, Novell Netware 5.0 file and print servers
> 1 Pentium Single CPU (dual capability)-P5-100 Mz, 32 MEG RAM, 10GB RAID Novell Netware 5.0 File and print server
> 1 Pentium Pro Single CPU (dual capability) P5-200 MEG RAM, 16 GB NT server 4.0 PDC, IIS, Proxy server
> 1 Pentium Single CPU (ual capability)PII-350Mhz, 512 MEG RAM, 16 GB Microsoft NT 4.0 server, Exchange Server
> Shiva Remote Communications Server

Mainline services are being upgraded with the purchase-in-progress of the following:
> Three (3) IBM Netfinity 5500's with (2) PIII 500mhz Intel XEON processors
> 1024-kb of internal level 2 cache per processor
> 1-GB of SDRAM memory
> (1) Ethernet 10/100 controller
> (1) Ethernet 10/100 failover controller
> (6) 18.2-GB SCSI hard drives to be configured as Raid-5
> Three (3) IBM Netfinity 3000's with (2) PIII 500mhz Intel XEON processors
> 1024-kb of internal level 2 cache per processor

1-GB of SDRAM memory
A second failover power supply
MS NT 4.0 Server O.S.
Cheyenne Inoculan

For the EDIMS, DRS will be using and has purchased (3) primary servers and (2) fault tolerant servers configured as follows:

.

IBM Netfinity 5500 with (2) PIII 500mhz Intel XEON processors
1024-kb of internal level 2 cache per processor
1-GB of SDRAM memory
(1) Ethernet 10/100 controller
(1) Ethernet 10/100 failover controller
(6) 18.2-GB SCSI hard drives to be configured as Raid-5
A second failover power supply

 Additional items:
(1) IBM 35/70 DLT tape drive with Seagate Backup software for one of the servers
(1) Spare 18.2-GB SCSI drive to be used to hot swap out a failed drive.
(10) MS NT 4.0 Server Client Access Licenses
(2) APC smart 3000 UPS

Database Platforms

 The Agency is currently undergoing evaluation and selection of a network-based client server database standard. Software AG's ADABAS is the database used in the mainframe environment.

Facility Environment:

Access to:	Floor:	Size:
Freight Room Door:	1st	W 67" – H 83"
Hallway Entry to Elevator:	All	W 47" – H 83"
Largest Elevator Door:	All	W 42" – H 84" Capacity 2,500 lbs.
Document Prep Room Entry:	1st	W 35" – H 84"
Document Prep Room:	1st	W 12'0"– L 27'0" – H 9'0"
Scanning Room:	1st	W 11'8"– L 17'6" – H 9'0"
Computer Room Door:	2nd	W 35" – H 84"

Future Business Outlook:

<u>Business Applications:</u>

Mainframe-based systems support all the business processes – IBM CICS, ADABAS/Natural
Service provider is State Department of Information Services
Very limited network-based applications, no specific tool preferences or commitment yet

<u>Internet/Intranet:</u>

MS Explorer on all workstations
Internet service provider is State Department of Information Services
Web site established (informational data only)

Potential for new services via Internet in the next year:
  Additional Agency information -   Very high probability – New Retirement Plan enacted
  Application and request forms -   Very high probability – some implemented
  Down loaded applications-   Very high probability – estimate calculator
  Interactive forms -   Moderate probability (Grows 1-2 yrs out)
  External access to account info -   Low probability (Grows 2-4 yrs out)
    (by the employer, then member)
  External access to imaged documents - Not until Backfile completed, security available.

Note: Providing extensive Web-based services is a very high probability in the future.

APPENDIX K
NETWORK & FACILITY LAYOUT DIAGRAM

NetWare Print & File Server at Lambskin (IBM NetFinity 3000)

CASE Tools & Program Develop. Server (IBM NetFinity 3000)

Color Scanner (2)

Flatbed Scanner (1)

NT Image/Workflow Application Fault Tolerant (IBM NetFinity 5500)

NT Image/Workflow Application Server (IBM NetFinity 5500)

Scanner PC (2)

Scanner PC (1)

NT Domain Server (IBM NetFinity 3000)

Image Database Fault Tolerant (IBM NetFinity 5500)

NT Image Database Server (IBM NeFinity 5500)

Optical Jukebox

NT Exchange Servers (IBM NetFinity 5500)

NT Exchange Fault Tolernant (IBM NetFinity 5500)

DRS Ethernet 100baseT Network

NT IIS Production Intranet Server (IBM NetFinity 5500)

Image Access Fault Tolerant (IBM NetFinity 5500)

NT Image Access Server (IBM NetFinity 5500)

NetWare Print & File Server (IBM NetFinity 5500)

Network Laser & Multifunctional Printers (40)

Network Color Laser Printer

Network Copier/Printers (6)

Network Large Format Plotter

Remote User Desktop Computers

Local User Desktop Computers (265)

NT IIS Intranet/ Internet Development Server (IBM NetFinity 5500)

NetWare Print & File Server (IBM NetFinity 5500)

IBM Mainframe with Business Applications

**DRS IMAGING
FUNCTIONAL NETWORK
DIAGRAM**

Point Plaza (Bay switched)

West Telco

96/74

24
24
24
24

Desktop System

168/148

6 pairs of fiber
to telco rm's
on 3rd fl

East Telco

72/41

Desktop System

144/124

3rd floor

Computer Room   96/77

168/156

full duplex
connect

Desktop System

Server   Server   Server   Server

1 Gigibyte
Fiber
Backbone

East Telco

6 pairs of fiber
to telco rm
on 2nd fl E

96/80

Desktop System

168/166

2nd floor

West Telco

144/140

96/64

6 pairs of fiber
to telco rm
on 1nd fl W

Desktop System

Scanner   Fiber

6 pairs of fiber
to telco rm
on 1nd fl E

East Telco

96/66

Desktop System

144/141

1st floor

APPENDIX L
PROTEST PROCEDURE

A. Procedure

This protest procedure is available to vendors who respond to this RFP and who request a debriefing conference. Protests are made:

1. To the Department of Retirement Systems (DRS) after the vendor debriefing. Vendor protests shall be received in writing by the DRS within five (5) calendar days of the debriefing.

2. To the Department of Information Services (DIS) only after protesting to the DRS and its resolution is not satisfactory to the protesting party. Protests to DIS shall be received, in writing, within five (5) business days after the vendor has received notification of a decision on the protest from DRS.

3. To the ISB for acquisitions approved by the ISB, only after protesting first to DIS and DIS resolution is not satisfactory to either party. Protests to the ISB shall be made within five (5) business days after the vendor has received notification of the DIS decision.

B. Grounds for protest are:

1. Errors were made in computing the score.

2. The Agency failed to follow procedures established in the RFP, the ISB policy titled "Acquisition and Disposal of Information Technology Resources," or applicable state or federal laws or regulations.

3. Bias, discrimination or conflict of interest on the part of an evaluator.

Protests not based on these criteria shall not be considered.

C. Format and content

Protesting vendors shall include, in their written protest to DRS and DIS, all facts and arguments upon which they rely. Vendors shall at a minimum, provide:

1. Information about the protesting vendor: name of the firm, mailing address, phone number and name of individual responsible for submission of the protest.

2. Information about the acquisition and the acquisition method.

3. Specific and complete statement of the Agency action(s) protested.

4. Specific reference to the grounds for protest.

5. Description of the relief or corrective action requested.

6. For protests to DIS or the ISB, a copy of the DRS' written decision on the protest.

D.   Review process

Upon receipt of vendor protest, the DRS shall postpone further steps in the acquisition process until the vendor protest has been resolved.

The DRS' internal protest review procedures consist of the following:

1. The DRS shall perform an objective review of the protest by individuals not involved in the acquisition protested. The review shall be based on the written protest material submitted by the vendor.

2. A written decision will be delivered to the vendor within three (3) business days after receipt of the protest, unless more time is needed. The protesting vendor shall be notified if additional time is necessary.

E.   Department of Information Services (DIS) Review Process

The vendor may protest to DIS in writing within five (5) business days after the vendor has received notification of the Agency decision.

DIS shall consider all the available facts, and issue a decision in writing within five (5) business days after receipt of the protest, unless more time is needed. The protesting vendor shall be notified if additional time is necessary. The DIS decision constitutes the final step of the protest process, except protests that may be reviewed by the Information Services Board (ISB) as outlined under Section G, "ISB Review Process."

F.   Final Determination

The final determination shall:

1. Find the protest lacking in merit and uphold the Agency's action; or

2. Find only technical or harmless errors in the Agency's acquisition process conduct, determine the Agency to be in substantial compliance, and reject the protest; or

3. Find merit in the protest and provide the Agency options, which may include:
    ▪   Correct its errors and reevaluate all proposals, and/or
    ▪   Reissue the vendor solicitation document, or

4. Make other findings and determine other courses of action as appropriate.

G.   ISB Review Process

Protests to the ISB may be made only for ISB approved acquisitions, and only after review by DIS. Protests of the decision of DIS shall be made by letter to the Chair, ISB, who may establish procedures to resolve the protest. Protests shall be received by the Chair, ISB, within five (5) business days after the decision of DIS in order to be considered. The resulting decision is final, with no further administrative appeal available.

APPENDIX M
GLOSSARY OF TERMS & DEFINITIONS

TERMS and DEFINITIONS

Acceptance	A written notice from DRS to the vendor that the equipment and software deliverables have met the acceptance criteria.
Acceptance Date	The date upon which DRS accepts the equipment and software deliverables.
ADF	Automatic Document Feed
API	Application Program Interface
Bar Code	Array of vertical rectangular marks and spaces in a predetermined pattern.
Cache	Small high-speed memory used for the temporary storage of frequently used data. It reduces the time it would take to access that data, since it no longer has to be retrieved from slower media.
COLD/ERM	Computer Output to Laser Disk/Enterprise Report Management
Contract	The contract and all schedules, exhibits, and amendments to the contract.
COTS	Commercial Off The Shelf
DIS	Department of Information Services
DPI	Dots Per Inch
DRS	Department of Retirement Systems
EDIMS	Electronic Document Image Management System
e-forms	Electronic Forms
e-mail	Electronic Mail
Equipment Failure	A malfunction in the equipment, excluding external factors, which prevents the accomplishment of the equipment's intended function(s). If macrocode or vendor-supplied operating software and/or firmware, residing in the equipment, is necessary for the proper operation of the equipment, a failure of such operating software and/or firmware that prevents the accomplishment of the equipment's intended function(s) shall be deemed to be an equipment failure.
FIFO	First In First Out
Full Text Search	A software or hardware process that retrieves textual documents based on the words, phrases, or concepts contained in the documents.
GUI	Graphical User Interface
HRISD	Human Resources Information Services Division of the Department of Personnel
ICR	Intelligent Character Recognition
Imaging	A method to capture, store, and retrieve document images in an organized fashion. Imaging systems allow concurrent access to the same document.
ISB	Information Services Board
IVR	Interactive Voice Response

Jukebox	An automated device for housing multiple optical disks and optical drives.
Just In Time	Backfile conversion process in which legacy paper documents are converted to electronic documents as the users request these documents. Also used to describe training that is given just before the functionality is to be used.
LAN	Local Area Network
LEOFF	Law Enforcement Officers' and Fire Fighters' System
LIFO	Last In First Out
MWBE	Minority and Women's Business Enterprises
OCR	Optical Character Recognition
OFM	Office of Financial Management
Optical/CD	Optical/Compact Disk
Optical/Erasable	Optical/Rewritable Disk
Optical/WORM	Optical/Write Once Read Many Disk
OMWBE	Office of Minority and Women's Business Enterprises
Pilot Implementation	An implementation in which the product is customized and installed, and supports existing processes. During this implementation, "stress testing" of the software, hardware, and customer infrastructure is performed. The application developed will typically be placed into "production" once the customer is satisfied with the performance. Costs for software, hardware, and professional services will be incurred, but limited to the extent of the pilot.
Proof of Concept	A scripted demonstration in which the vendor sets up and demonstrates the product to ensure that it has the features and functionality to support the application. In some instances, the customer may have some time (usually a week) to "experiment" with it. No customized applications are implemented. Minimal to no cost on the customer side, depending on the vendor and size of the opportunity.
QC	Quality Control
RCW	Revised Code of Washington
Retention Schedule	A published and authorized schedule by which documents are retained or destroyed. Usually defined by number of years that a document must be kept, according to defined legal requirements.
Reengineering	Business Process Reengineering or Business Process Redesign (BPR) is a comprehensive approach to reorganization. It alters a business process to match the current business objectives, e.g., customer satisfaction, responsiveness, etc.
RFP	Request For Proposal
RSD	Retirement Services Division
SCSI	Small Computer System Interface
SSN	Social Security Number
Subcontractor	An individual or entity not in the employment of the vendor, who is performing all or part of specified services under a separate contract with the vendor. The term "subcontractor" means subcontractor(s) of any tier.

System Integrator	An organization or individual who brings together vendors' hardware and software products to develop a system.
Third Party Vendor	A supplier of products to the vendor or subcontractor.
TWAIN	A proposed standard for cross-platform scanner-to-software communications.
Vendor	A developer or originator of hardware or software products.
WAN	Wide Area Network
WfMC	Workflow Management Coalition
Workflow	An automated means to route documents and perform work on them through a system that may involve several decision points and multiple people at a variety of locations. Workflow is a "rules-based" system for processing. Rules may cover dates and dependencies, and incorporate parallel processing in place of sequential processing.

APPENDIX N
RECORD MANAGEMENT STANDARDS

CHAPTER 40.10 RCW
MICROFILMING OF RECORDS TO PROVIDE CONTINUITY OF CIVIL GOVERNMENT

Sections:
40.10.010 Essential records--Designation--List--Security and protection--Reproduction.
40.10.020 Essential records--Reproduction and storage-- Coordination of protection program--Fees.

RCW 40.10.010 Essential records--Designation--List--Security and protection--Reproduction. In order to provide for the continuity and preservation of civil government, each elected and appointed officer of the state shall designate those public documents which are essential records of his office and needed in an emergency and for the reestablishment of normal operations after any such emergency. A list of such records shall be forwarded to the state archivist on forms prescribed by the state archivist. This list shall be reviewed at least annually by the elected or appointed officer to insure its completeness. Any changes or revisions following this review shall be forwarded to the state archivist. Each such elected and appointed officer of state government shall insure that the security of essential records of his office is by the most economical means commensurate with adequate protection. Protection of essential records may be by vaulting, planned or natural dispersal of copies, or any other method approved by the state archivist. Reproductions of essential records may be by photo copy, magnetic tape, microfilm or other method approved by the state archivist. Local government offices may coordinate the protection of their essential records with the state archivist as necessary to provide continuity of local government under emergency conditions. [1982 c 36 § 1; 1973 c 54 § 1; 1963 c 241 § 1.] NOTES: Severability--1973 c 54: "If any provision of this 1973 amendatory act, or its application to any person or circumstance is held invalid, the remainder of the act, or the application of the provision to other persons or circumstances is not affected." [1973 c 54 § 6.]

RCW 40.10.020 Essential records--Reproduction and storage-- Coordination of protection program--Fees. The state archivist is authorized to reproduce those documents designated as essential records by the several elected and appointed officials of the state and local government by microfilm or other miniature photographic process and to assist and cooperate in the storage and safeguarding of such reproductions in such place as is recommended by the state archivist with the advice of the director of community, trade, and economic development. The state archivist shall coordinate the essential records protection program and shall carry out the provisions of the state emergency plan as they relate to the preservation of essential records. The state archivist is authorized to charge the several departments of the state and local government the actual cost incurred in reproducing, storing and safeguarding such documents: PROVIDED, That nothing herein shall authorize the destruction of the originals of such documents after reproduction thereof. [1995 c 399 § 58; 1986 c 266 § 45; 1985 c 7 § 106; 1982 c 36 § 2; 1973 c 54 § 2; 1963 c 241 § 2.] NOTES: Severability--1986 c 266: See note following RCW 38.52.005.

CHAPTER 40.14 RCW PRESERVATION AND DESTRUCTION OF PUBLIC RECORDS
Sections:
40.14.040 Records officers--Designation--Powers and duties.
40.14.050 Records committee--Composition, travel expenses, meetings, powers and duties--Retention schedules. 40.14.060 Destruction, disposition of official public records or office files and memoranda--Record retention schedules.
40.14.070 Destruction, disposition of local government records--Preservation for historical interest-- Local records committee, duties--Record retention schedules.

RCW 40.14.040 Records officers--Designation--Powers and duties. Each department or other agency of the state government shall designate a records officer to supervise its records program and to represent the office in all contacts with the records committee, hereinafter created, and the division of archives and records management. The records officer shall: (1) Coordinate all aspects of the records management program. (2) Inventory, or manage the inventory, of all public records at least once during a biennium for disposition scheduling and transfer action, in accordance with procedures prescribed by the state archivist and state records committee: PROVIDED, That essential records shall be inventoried and processed in accordance with chapter 40.10 RCW at least annually. (3) Consult with any other personnel responsible for maintenance of specific records within his state organization regarding records retention and transfer recommendations. (4) Analyze records inventory data, examine and compare divisional or unit inventories for duplication of records, and recommend to the state archivist and state records committee minimal retentions for all copies commensurate with legal, financial and administrative needs. (5) Approve all records inventory and destruction requests which are submitted to the state records committee. (6) Review established records retention schedules at least annually to insure that they are complete and current. (7) Exercise internal control over the acquisition of filming and file equipment. If a particular agency or department does not wish to transfer records at a time previously scheduled therefor, the records officer shall, within thirty days, notify the archivist and request a change in such previously set schedule, including his reasons therefor. [1982 c 36 § 4; 1979 c 151 § 51; 1973 c 54 § 3; 1957 c 246 § 4.]

RCW 40.14.050 Records committee--Composition, travel expenses, meetings, powers and duties--Retention schedules. There is created a committee, to be known as the records committee, composed of the archivist, an appointee of the state auditor, an appointee of the attorney general, and an appointee of the director of financial management. Committee members shall serve without additional salary, but shall be entitled to travel expenses incurred in accordance with RCW 43.03.050 and 43.03.060 as now existing or hereafter amended. Such expenses shall be paid from the appropriations made for operation of their respective departments or offices. The records committee shall meet at least once every quarter or oftener as business dictates. Action by the committee shall be by majority vote and records shall be kept of all committee business. It shall be the duty of the records committee to approve, modify or disapprove the recommendations on retention schedules of all files of public records and to act upon requests to destroy any public records: PROVIDED, That any modification of a request or recommendation must be approved by the head of the agency originating the request or

recommendation. The division of archives and records management shall provide forms, approved by the records committee, upon which it shall prepare recommendations to the committee in cooperation with the records officer of the department or other agency whose records are involved. [1985 c 192 § 1; 1975-'76 2nd ex.s. c 34 § 83; 1957 c 246 § 5.] NOTES: Effective date--Severability--1975-'76 2nd ex.s. c 34: See notes following RCW 2.08.115.

RCW 40.14.060 Destruction, disposition of official public records or office files and memoranda--Record retention schedules. (1) Any destruction of official public records shall be pursuant to a schedule approved under RCW 40.14.050. Official public records shall not be destroyed unless: (a) The records are six or more years old; (b) The department of origin of the records has made a satisfactory showing to the state records committee that the retention of the records for a minimum of six years is both unnecessary and uneconomical, particularly if lesser federal retention periods for records generated by the state under federal programs have been established; or (c) The originals of official public records less than six years old have been copied or reproduced by any photographic or other process approved by the state archivist which accurately reproduces or forms a durable medium for so reproducing the original. (2) Any lesser term of retention than six years must have the additional approval of the director of financial management, the state auditor and the attorney general, except when records have federal retention guidelines the state records committee may adjust the retention period accordingly. An automatic reduction of retention periods from seven to six years for official public records on record retention schedules existing on June 10, 1982, shall not be made, but the same shall be reviewed individually by the state records committee for approval or disapproval of the change to a retention period of six years. Recommendations for the destruction or disposition of office files and memoranda shall be submitted to the records committee upon approved forms prepared by the records officer of the agency concerned and the archivist. The committee shall determine the period of time that any office file or memorandum shall be preserved and may authorize the division of archives and records management to arrange for its destruction or disposition. [1982 c 36 § 5; 1979 c 151 § 52; 1973 c 54 § 4; 1957 c 246 § 6.]

RCW 40.14.070 Destruction, disposition of local government records--Preservation for historical interest--Local records committee, duties--Record retention schedules. County, municipal, and other local government agencies may request authority to destroy noncurrent public records having no further administrative or legal value by submitting to the division of archives and records management lists of such records on forms prepared by the division. The archivist, a representative appointed by the state auditor, and a representative appointed by the attorney general shall constitute a committee, known as the local records committee, which shall review such lists and which may veto the destruction of any or all items contained therein. A local government agency, as an alternative to submitting lists, may elect to establish a records control program based on recurring disposition schedules recommended by the agency to the local records committee. The schedules are to be submitted on forms provided by the division of archives and records management to the local records committee, which may either veto, approve, or amend the schedule. Approval of such schedule or amended schedule shall be by unanimous vote of the local records committee. Upon such approval, the schedule shall constitute authority for the local government agency to destroy the records listed thereon, after the required retention period, on a recurring basis until the schedule is either amended or revised by the committee. Except as otherwise provided by law, no public records shall be destroyed

until approved for destruction by the local records committee. Official public records shall not be destroyed unless: (1) The records are six or more years old; (2) The department of origin of the records has made a satisfactory showing to the state records committee that the retention of the records for a minimum of six years is both unnecessary and uneconomical, particularly where lesser federal retention periods for records generated by the state under federal programs have been established; or (3) The originals of official public records less than six years old have been copied or reproduced by any photographic, photostatic, microfilm, miniature photographic, or other process approved by the state archivist which accurately reproduces or forms a durable medium for so reproducing the original. An automatic reduction of retention periods from seven to six years for official public records on record retention schedules existing on June 10, 1982, shall not be made, but the same shall be reviewed individually by the local records committee for approval or disapproval of the change to a retention period of six years. The state archivist may furnish appropriate information, suggestions, and guidelines to local government agencies for their assistance in the preparation of lists and schedules or any other matter relating to the retention, preservation, or destruction of records under this chapter. The local records committee may adopt appropriate regulations establishing procedures to be followed in such matters. Records of county, municipal, or other local government agencies, designated by the archivist as of primarily historical interest, may be transferred to a recognized depository agency. [1995 c 301 § 71; 1982 c 36 § 6; 1973 c 54 § 5; 1971 ex.s. c 10 § 1; 1957 c 246 § 7.] NOTES: Copying, preserving, and indexing of documents recorded by county auditor: RCW 36.22.160 through 36.22.190. Destruction and reproduction of court records: RCW 36.23.065 through 36.23.070.

Chapter 434-663 WAC
IMAGING SYSTEMS, STANDARDS FOR ACCURACY AND DURABILITY
Last Update: 2/1/94

WAC

WAC 434-663-100
Legality.

Electronic imaging systems may be legally used for recording, producing, reproducing, maintaining, and storing public records provided that they materially meet the standards set forth in this regulation; and the retention and disposition of the original and copies regardless of media are scheduled in accordance with Chapter 40.14 RCW. Nothing in this chapter can be construed to limit the admissibility as evidence of any public record. The purpose of this regulation is the preservation of information, and the facilitation of the migration of archival, permanent, and long-term records.

[Statutory Authority Chapter 40.14 RCW. 94-04-102, § 434-663-100, filed 2/1/94, effective 3/7/94.]

DEFINITIONS

WAC 434-663-200
Electronic document imaging system.

An electronic document imaging system is a computer-based configuration of equipment and software that stores machine-readable document images and their associated character-coded index data for on-demand retrieval. Electronic images can be computer generated, or created through document scanning.

[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-200, filed 2/1/94, effective 3/7/94.]

WAC 434-663-210
Document scanning.

A specially designed input workstation is required to convert documents or images to machine-readable form for computer processing and storage. At a minimum, the input workstation includes a document scanner, an image processor unit, a video display unit, keyboard, and access to storage. Using a solid-state array or other photo-sensitive components, the document scanner measures the amount of light associated with successively encountered PELs (Picture ELement) and transmits a corresponding electrical signal that is converted to computer compatible digital codes.

[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-210, filed 2/1/94, effective 3/7/94.]

WAC 434-663-220
Image.

An image can be a document, picture, or graphic. An image can be produced by scanning paper or film documents, producing images through a computer program, receiving an image by means of a fax, or by other means.

[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-220, filed 2/1/94, effective 3/7/94.]

WAC 434-663-230
Enhancement.
Any method including adjusting brightness and contrast, or algorithm employed with the objective of producing an accurate and legible copy.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-230, filed 2/1/94, effective 3/7/94.]

WAC 434-663-240
Archival records.
Archival records are records that have permanent and/or historical value and are scheduled as archival. Long-term records are records having a retention period in excess of ten years. Permanent records are those records that are required by specific statute to be retained permanently.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-240, filed 2/1/94, effective 3/7/94.]

WAC 434-663-250
Open system.
Open system is defined to be a system that implements sufficient public specifications for interfaces, services and supporting formats to enable applications software to be ported across a wide range of systems, to interoperate or interchange with other applications on local and remote systems, and to interact with users in a style that facilitates portability. Public specifications are maintained by open, public consensus process to accommodate new technology over time, and which are consistent with international standards.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-250, filed 2/1/94, effective 3/7/94.]

WAC 434-663-260
De facto standard.
A de facto standard is a widely accepted industry standard without official recognition by a standards group.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-260, filed 2/1/94, effective 3/7/94.]

QUALITY OF DIGITAL IMAGES

WAC 434-663-300
Quality of digital images.
Ensuring the quality of digital images requires exercising control over six processes: Conversion of the original image to digital data, enhancement of the digital image if necessary, compression of the digital data for storage, decompression of digital data for retrieval, displaying the image, and printing.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-300, filed 2/1/94, effective 3/7/94.]

WAC 434-663-310
Enhancement of original image.
Enhancement can be used to ensure readability of the documents and to improve the accuracy of the copy by scanning these documents using varying enhancement algorithm settings. Use the best scanned images as the operational criteria for acceptable image quality.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-310, filed 2/1/94, effective 3/7/94.]

WAC 434-663-320
Compressing image data for storage.
Imaging systems containing archival, permanent, or long-term information must use a compression technique that meets either a published or de facto standard. If such a technique cannot be used, the software vendor must provide a bridge to a standard.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-320, filed 2/1/94, effective 3/7/94.]

USABILITY OF IMAGE AND INDEX DATA OVER TIME

WAC 434-663-400
Usability of image and index data over time.
Maintaining access to and usability of electronic records requires ensuring continuous readability and intelligibility. Readability means the ability to process images both on the computer system on which they were created and on different computer systems without loss of information. Intelligibility means that humans can comprehend the information the computer reads. Ensuring readability and intelligibility of electronic records over time entails maintenance of environmental conditions, periodic recopying, and strategies to preserve data by migration from one generation of technology to another through a commitment to open architecture.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-400, filed 2/1/94, effective 3/7/94.]

WAC 434-663-410
Defining indexing requirements.
The selection of indexing parameters is based on an analysis of retrieval requirements associated with a particular application, and must insure rapid and accurate retrieval of information. For systems containing archival, permanent, or long-term records, index design must take into account the retrieval requirements of both current and future users of the records, including government agency personnel as well as researchers and the general public.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-410, filed 2/1/94, effective 3/7/94.]

WAC 434-663-420
Preservation strategy.
A preservation strategy must be developed and implemented for each image system containing long-term, permanent, or archival information. Four preservation strategy options are acceptable:
(1) Retain the original paper documents; or

(2) Microfilm the original documents; or
(3) Recopy optical media when necessary to insure the integrity of the information, and recopy magnetic media every ten years; or
(4) Print images on microfilm.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-420, filed 2/1/94, effective 3/7/94.]

WAC 434-663-430
Header on image files.
A de facto or industry standard header label on image files or a gateway to a nonproprietary header label shall be used for imaging systems that contain long-term, permanent, or archival information. This will allow access to the information by dissimilar systems now and in the future.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-430, filed 2/1/94, effective 3/7/94.]

WAC 434-663-440
Backup for recovery.
In order to facilitate a recovery of lost information and the restoration of system operations in the event of a malfunction or other disaster, properly implemented backup procedures must be in place. Backup security copies of document images and indexes through either simultaneous recording or periodic batch mode backup.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-440, filed 2/1/94, effective 3/7/94.]

WAC 434-663-450
Ensuring usability.
At a minimum, the system must include an electronic error checking utility that will check the integrity of the data when written to the media.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-450, filed 2/1/94, effective 3/7/94.]

WAC 434-663-460
Stability of media.
Records and their indexes having a permanent or archival retention or a retention of over ten years require long-term stability of the media used. Three interrelated issues impact long-term stability:
(1) Media selection, including storage and recording technology;
(2) Quality of data stored;
(3) Media protection.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-460, filed 2/1/94, effective 3/7/94.]

WAC 434-663-470
Storage media.
Write-once-read-many (WORM) media should be used for records having a permanent or archival retention or a retention of over ten years. If WORM technology is not practical for an

application, and rewritable media is used, ensure that read/write privileges are carefully controlled and that an audit trail of rewrites is maintained.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-470, filed 2/1/94, effective 3/7/94.]

WAC 434-663-480
Optical media durability.
Durability for optical media is defined as post-write shelf life. For records having a permanent or archival retention or a retention of over ten years, use media with a minimum twenty-year post-write life. Vendors must document that aging tests have been conducted.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-480, filed 2/1/94, effective 3/7/94.]

WAC 434-663-490
Archival, permanent, and long-term off-line storage environment.
Media should be stored in a dust-free area with a stable temperature between sixty and seventy degrees Fahrenheit with a fluctuation of plus or minus two degrees, and relative humidity between twenty and forty-five percent with a fluctuation of plus or minus five percent. Media should be stored in a suitable container to protect against particulate and fingerprints. Optical disks and magnetic tapes should be stored vertically. The reliability of the data should be tested every ten years. Magnetic tape should be precision rewound every five years and before each use. Every ten years, data stored on magnetic tape shall be transferred to pretested fresh stock.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-490, filed 2/1/94, effective 3/7/94.]

FUNCTIONALITY OF SYSTEM COMPONENTS

WAC 434-663-500
Open systems architecture.
Ensuring the usability of digital images to serve the functions for which they were designed involves long-term commitment to an open systems architecture and an approach to component upgrading, data transfer, and migration path that guarantees the portability of current data to be used with future technologies.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-500, filed 2/1/94, effective 3/7/94.]

WAC 434-663-510
Backward compatibility.
System upgrades or new systems acquired after the effective date of this regulation containing archival, long-term, or permanent records must provide backward compatibility to any existing systems containing the same records series, or be able to provide for the conversion of existing stored data to the new system.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-510, filed 2/1/94, effective 3/7/94.]

WAC 434-663-520
Availability of index data base for off-line media.
The index data must be available for media containing archival permanent or long-term documents.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-520, filed 2/1/94, effective 3/7/94.]

WAC 434-663-530
Technical documentation.
Technical documentation on system components, application software and operating systems is essential, and shall be maintained to facilitate long-term access to archival, permanent, and long-term records.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-530, filed 2/1/94, effective 3/7/94.]

RETENTION AND DISPOSITION OF RECORDS

WAC 434-663-600
Retention and disposition of public records.
Conversion to an imaging system does not automatically authorize the destruction of the original records. Destruction of, or changes to the retention of any public records due to conversion to or the use of a new media requires legal approval of the state or local records committee of the state of Washington through the retention and disposition scheduling process in accordance with Chapter 40.14 RCW and chapter 434-635 wac[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-600, filed 2/1/94, effective 3/7/94.]

WAC 434-663-610
Records retention scheduling for records on imaging system.
The retention scheduling of information to be placed on an imaging system must be done prior to the creation or copying of the records, and may require a cost benefit analysis. Decisions about the retention value of information stored on an imaging system are related to the value of the original information included in the system.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-610, filed 2/1/94, effective 3/7/94.]

WAC 434-663-620
Security copies.
Records with permanent legal value, stored on electronic media should have a security backup copy on another type of media. If this is impractical, the user must obtain permission to retain electronic copies as the sole media from the state records committee or the local records committee on a case-by-case basis as part of the records scheduling process. Such permission will be granted if there are strong backup systems in place, and systems and procedures in place for periodic recopying.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-620, filed 2/1/94, effective 3/7/94.]

WAC 434-663-630
Agency acquisition--Department of information services approval.
State agencies intending to utilize an imaging system for the storage or conversion of public records must include such plans in their biennial information technology plan submitted to the department of information services and comply with other requirements of DIS as may apply.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-630, filed 2/1/94, effective 3/7/94.]

ADDENDUM A
GARTNERGROUP DECISION DRIVER EVALUATION
IMAGING & WORKFLOW FUNCTIONALITY

This section of the RFP will be used by GartnerGroup Decision Drivers to evaluate the functionality provided by the product.

8   IMAGING & WORKFLOW FUNCTIONALITY

The Electronic Document Image Management System will provide core imaging and workflow functionality. Please complete the following questions. The check box questions should specify whether the feature or functionality is provided (Yes), not provided (No), can be customized to provide it (Cust), or can be provided by a 3rd party vendor (3rd).

8.1.1   IMAGING FUNCTIONALITY

8.1.1.1   Imaging Integration

What type of imaging can your product support:

	Yes	No	Cust.	3rd
Production imaging	☐	☐	☐	☐
Component imaging	☐	☐	☐	☐
Desktop Imaging	☐	☐	☐	☐

Describe the level of integration for the imaging product with the other suite components:

Is the imaging product integrated with other suite components at these levels:

	Yes	No	Cust.	3rd
Administration (user tables, security)	☐	☐	☐	☐
Application development environment	☐	☐	☐	☐
Code base	☐	☐	☐	☐
Common access via Web or traditional client	☐	☐	☐	☐
Data level (share common database)	☐	☐	☐	☐
Functionality level (seamless integration for users)	☐	☐	☐	☐

Are the APIs ODMA compliant:

Yes	No	Cust.	3rd
☐	☐	☐	☐

Is Object Linking and Embedding (OLE) supported:

Yes	No	Cust.	3rd
☐	☐	☐	☐

Can the imaging product integrate with:

Yes	No	Cust.	3rd

Workflow systems	☐	☐	☐	☐
Document management systems	☐	☐	☐	☐
E-mail and groupware systems	☐	☐	☐	☐
Business applications systems	☐	☐	☐	☐
Desktop applications (office suites)	☐	☐	☐	☐
Legacy applications and systems	☐	☐	☐	☐
Others*	☐	☐	☐	☐

* Please specify:

8.1.1.2 Image Capture

8.1.1.2.1 Scanners Supported:

Are the following scanner standards supported:

	Yes	No	Cust.	3rd
TWAIN compatible	☐	☐	☐	☐
ISIS compatible	☐	☐	☐	☐

Which scanners are supported:

	Yes	No	Cust.	3rd
IBM	☐	☐	☐	☐
Bell & Howell	☐	☐	☐	☐
Kodak	☐	☐	☐	☐
Polaroid	☐	☐	☐	☐
Fujitsu	☐	☐	☐	☐
Ricoh	☐	☐	☐	☐
Sharp	☐	☐	☐	☐
Hewlett Packard	☐	☐	☐	☐
Other*	☐	☐	☐	☐

* Please specify:

What types of scanners are supported:

	Yes	No	Cust.	3rd
High volume scanners with ADF	☐	☐	☐	☐
Flat bed scanners	☐	☐	☐	☐
Duplex scanners	☐	☐	☐	☐
Large format scanners (e-sized drawings)	☐	☐	☐	☐
OMR scanners	☐	☐	☐	☐
High resolution magazine quality drum scanners	☐	☐	☐	☐
Multifunction devices (fax, scan, copy, print)	☐	☐	☐	☐
Bar code readers/scanners	☐	☐	☐	☐
Microfilming scanners	☐	☐	☐	☐
Color scanners	☐	☐	☐	☐
Fax scanners	☐	☐	☐	☐

What scanner boards and interfaces are supported:

	Yes	No	Cust.	3rd
Serial port	☐	☐	☐	☐
SCSI cards	☐	☐	☐	☐
Video interface	☐	☐	☐	☐
Direct network connection	☐	☐	☐	☐
Kofax board	☐	☐	☐	☐
Xionics board	☐	☐	☐	☐
Dunord board	☐	☐	☐	☐
Others*	☐	☐	☐	☐

* Please specify:

Describe the scanning architecture and characteristics of your scanning software in regards to reliability of scans, rated speed of scanners that can be handled, redundancy, etc.

Do you recommend or work with specific scanner vendors supported by your software? If so which ones:

8.1.1.2.2 Scanning Station Features:

	Yes	No	Cust.	3rd
Mark document as scanned	☐	☐	☐	☐
Mark document as indexed	☐	☐	☐	☐
Maintain an index of all scanned but not indexed documents	☐	☐	☐	☐
All documents scanned after a cover page or index page are in indexed to the same folder until the next cover page is reached	☐	☐	☐	☐
If document id is not present, operator will be prompted for immediate indexing or queued for later indexing	☐	☐	☐	☐
Alert operator to documents that need to be manually indexed.	☐	☐	☐	☐
Scanner settings are automatically set based on document type as defined in a setup table	☐	☐	☐	☐
Allow entry of document control count before batch scanning and compare to actual count	☐	☐	☐	☐
Automatically eliminate blank pages	☐	☐	☐	☐
Support distributed scanning of documents from multiple locations	☐	☐	☐	☐
Can interrupt scanning in mid-batch and pick up where interrupted	☐	☐	☐	☐
Highlight missing pages	☐	☐	☐	☐
Re-index previously indexed document	☐	☐	☐	☐
Delete and rescan a document or page	☐	☐	☐	☐
Able to rotate and re-order images within document and save new orientation	☐	☐	☐	☐
Align image based on registration mark	☐	☐	☐	☐
Notify operators of skewed scanned images				
Scan to network cache server or workstation disk drive before indexing	☐	☐	☐	☐
Uses a graphical user interface	☐	☐	☐	☐

	Yes	No	Cust.	3rd
Audit trail captures scanning location	☐	☐	☐	☐
Operator can set and reset standard scanner options and save defaults	☐	☐	☐	☐
Operator can verify quality of digitized image as it is scanned and correct or rescan	☐	☐	☐	☐
Batch Total Verification – compare # of documents and pages scanned	☐	☐	☐	☐
Batch Correction Utility – reassemble batches that are scanned out of order	☐	☐	☐	☐
Automatic and manually adjustable threshold settings to compensate for different types of originals	☐	☐	☐	☐
Able to handle multiple page colors and ink colors with degradation in image quality or readability	☐	☐	☐	☐
Maintain quality control statistics	☐	☐	☐	☐
Route a copy of every nth scanned document for a quality control check	☐	☐	☐	☐
Maintain statistics on # of rejected documents at scanning station	☐	☐	☐	☐
Operator on-the-fly adjustments – resolution	☐	☐	☐	☐
- sensitivity	☐	☐	☐	☐
- brightness	☐	☐	☐	☐
- exposure	☐	☐	☐	☐
Software automatic adjustments – resolution	☐	☐	☐	☐
- sensitivity	☐	☐	☐	☐
- brightness	☐	☐	☐	☐
- exposure	☐	☐	☐	☐
Recognition product invoked by application type	☐	☐	☐	☐
Recognition product invoked by operator	☐	☐	☐	☐
Able to scan and index simultaneously	☐	☐	☐	☐
Able to split screen to view image and data entry	☐	☐	☐	☐
Able to scan a batch with difference size documents	☐	☐	☐	☐
Able to scan a batch with single and double-sided documents	☐	☐	☐	☐

How does the scanner manage imaging quality (automated vs. operator intervention):

How does the scanner detect multiple sheets:

Which character sets are supported for recognition output:

What are the number and type of data fields that can be recognized at the time of scanning:

What is the resolution and pixel depth of images captured by the scanner:

What compression algorithms are used and how are pages/documents compressed:

Are there other scanning station features you would like to describe:

8.1.1.2.3 Foldering:

8.1.1.2.3.1 Structure

	Yes	No	Cust.	3rd
Is a hierarchical file management structure used	☐	☐	☐	☐
Can objects be assigned to multiple groups with copying	☐	☐	☐	☐
Can a folder be designated as the parent	☐	☐	☐	☐
Unlimited # of levels within a folder	☐	☐	☐	☐
Unlimited # of documents within a folder	☐	☐	☐	☐
Unlimited # of types of documents within a folder	☐	☐	☐	☐
Unlimited # of file cabinets per client	☐	☐	☐	☐
Unlimited length for names	☐	☐	☐	☐
A document can be stored in multiple folders	☐	☐	☐	☐
A "project" level can be established to include multiple folders	☐	☐	☐	☐
Consistent folder interface regardless of storage media	☐	☐	☐	☐
Automatically create table of contents for a folder	☐	☐	☐	☐
Users can dynamically customize views of the folder indices	☐	☐	☐	☐
Able to print entire folder	☐	☐	☐	☐
Able to print one document from a folder	☐	☐	☐	☐
Able to print a page from a folder	☐	☐	☐	☐

Describe the number of levels allowed in the product's foldering schema :

8.1.1.2.3.2 Assembly:

	Yes	No	Cust.	3rd
Users can move images individually or as a group between folders	☐	☐	☐	☐
Insert a page	☐	☐	☐	☐
Delete a page	☐	☐	☐	☐
Move a page	☐	☐	☐	☐
Insert document separator	☐	☐	☐	☐
Delete document separator	☐	☐	☐	☐
Move document separator	☐	☐	☐	☐
Drag and drop folder created from MS Explorer	☐	☐	☐	☐
Automatically renumber document when a page is added or deleted	☐	☐	☐	☐
Maintain links between documents in a folder	☐	☐	☐	☐
Compound document folder capabilities	☐	☐	☐	☐
Include fax documents	☐	☐	☐	☐
Include video clips	☐	☐	☐	☐
Include audio clips	☐	☐	☐	☐
Include forms	☐	☐	☐	☐

Describe how images are assembled into folders/documents:

8.1.1.2.4 Types of Bar Coding:

	Yes	No	Cust.	3rd
Code 2 of 5	☐	☐	☐	☐
Interleaved 2 of 5	☐	☐	☐	☐
Airline 2 of 5	☐	☐	☐	☐
Code 3 of 9	☐	☐	☐	☐
Codabar	☐	☐	☐	☐
Code 128	☐	☐	☐	☐
Horizontal, left to right	☐	☐	☐	☐
Horizontal, right to left	☐	☐	☐	☐
Vertical, bottom to top	☐	☐	☐	☐

What is the maximum number of barcodes per document:

8.1.1.3 Indexing

8.1.1.3.1 How index is built

	Yes	No	Cust.	3rd
GUI	☐	☐	☐	☐
Protected by userid and password	☐	☐	☐	☐
Index is system generated	☐	☐	☐	☐
Index is text entry by user	☐	☐	☐	☐
Index is text entry by DBA	☐	☐	☐	☐
Select values from a list/validation table	☐	☐	☐	☐
Validate index against table of allowed values	☐	☐	☐	☐
Automatically generated via barcode	☐	☐	☐	☐
Via template or forms application	☐	☐	☐	☐
Via OCR	☐	☐	☐	☐
Full text index of scanned document (pages, section, document)	☐	☐	☐	☐
Index prior to scanning	☐	☐	☐	☐
Field and record level validation of index from administrator defined rules table	☐	☐	☐	☐
Populate index fields with data from external system during scanning	☐	☐	☐	☐
Able to merge two documents that have the same index	☐	☐	☐	☐
Able to index data by application or other process	☐	☐	☐	☐
Validate index data against external database	☐	☐	☐	☐
Indicate duplicate index	☐	☐	☐	☐
Index to the document page level	☐	☐	☐	☐
Route to central OCR	☐	☐	☐	☐
Provide lookup tables to assist in the location of index info	☐	☐	☐	☐
Index documents with or without viewing scanned document	☐	☐	☐	☐

8.1.1.3.2 Metadata included in the indexing process

	Yes	No	Cust.	3rd
Automatically capture metadata	☐	☐	☐	☐
Add metadata fields as needed	☐	☐	☐	☐
Customized field names for metadata	☐	☐	☐	☐
Include – object date stamp	☐	☐	☐	☐
- object identification	☐	☐	☐	☐
- object ownership	☐	☐	☐	☐

Can you index the location of a "hardcopy only" document? Please describe how:

What are the limitations on index elements:

What initiates indexing (scan, manual, etc.)?

How quickly is your index database updated?

How quickly are those updates reflected on desktop browsers

Does the product have any indexing capabilities that provide you with a competitive advantage?

8.1.1.3.3 Recognition Engine

8.1.1.3.3.1 Engine

What recognition engines are provided with you imaging product?

What languages does the recognition engine support

How are the following recognition engine components supported:

COMPONENT	Yes	No	Describe: How is it supported , Is it proprietary or 3rd party, Recognition rates, Maximum number of fields available per page.
ICR	☐	☐	
OCR	☐	☐	
OMR	☐	☐	
MICR	☐	☐	

Please describe the image resolution capabilities of your recognition engine.   Include any benchmarks achieved or testing complete such as accuracy and recognition rate?

8.1.1.3.3.2 Recognition Engine Functions

	Yes	No	Cust.	3rd
Process documents with different levels of image and text conversion complexity	☐	☐	☐	☐
Handle different font sizes and types in one document	☐	☐	☐	☐
Remove blank lines between paragraphs	☐	☐	☐	☐
Maintain placement of text and paragraphs	☐	☐	☐	☐
Automatically identify misspelled words	☐	☐	☐	☐
Automatically flag characters with a conversion confidence below a specified threshold	☐	☐	☐	☐
Automatically full text index the document if the conversion confidence is above a specified threshold	☐	☐	☐	☐
Automatically route the document to an edit process if the conversion confidence is below a pre-defined threshold	☐	☐	☐	☐
Can route document back to be re-scanned/indexed	☐	☐	☐	☐

8.1.1.4   Repair & Markup

8.1.1.4.1 Repair Tools and Features

	Yes	No	Cust.	3rd
Deskew	☐	☐	☐	☐
Remove speckles and artifacts	☐	☐	☐	☐
Trim edges	☐	☐	☐	☐
Automatically crop white space from documents smaller than 8 /12 x 11"	☐	☐	☐	☐
Remove lines	☐	☐	☐	☐
Remove form layout	☐	☐	☐	☐
Connect line	☐	☐	☐	☐
Enhance edge – sharpen/soften	☐	☐	☐	☐
Enhance edge – soften	☐	☐	☐	☐
Smooth out lines	☐	☐	☐	☐
Automatically rotate image based on index information	☐	☐	☐	☐
Filter information to reduce file size	☐	☐	☐	☐
Fill in staple holes	☐	☐	☐	☐
Lighten/Darken image	☐	☐	☐	☐
Black border removal or cropping	☐	☐	☐	☐
Dynamic thresholding (filter B&W images automatically)	☐	☐	☐	☐
Smooth bit-mapped shapes	☐	☐	☐	☐
Clean-up handwriting	☐	☐	☐	☐
Image flipping (mirror image)	☐	☐	☐	☐
Automatic scaling to output size	☐	☐	☐	☐
Automatic edge cropping	☐	☐	☐	☐
Autosizing	☐	☐	☐	☐
Automatic page registration (moving upper left corner of misalign pages to correct location and trim to fit	☐	☐	☐	☐
Background removal (filter unwanted patterns of lines or text while leaving the main text unchanged)	☐	☐	☐	☐

	Yes	No	Cust.	3rd
Erosion (Thin lines for easier recognition and accuracy)	☐	☐	☐	☐
Dilation (Thicking lines)	☐	☐	☐	☐
Mark Sense (detection of checkmarks and bubbles in boxes or circles)	☐	☐	☐	☐
Scaling – set parameters to automatic output images to different displays or printers	☐	☐	☐	☐
Pixel inversion (change a negative image to positive or viceversa)	☐	☐	☐	☐
Grayscale support – bitonal image technology to scan one-bit images	☐	☐	☐	☐

8.1.1.4.2 Markup and Annotation Features

	Yes	No	Cust.	3rd
Highlighter	☐	☐	☐	☐
"Redline" capability (markup without Cust.ifying)	☐	☐	☐	☐
"Sticky notes"	☐	☐	☐	☐
"Black out"	☐	☐	☐	☐
Digital stamp	☐	☐	☐	☐
Digital signature	☐	☐	☐	☐
Author id stamp	☐	☐	☐	☐
Date stamping	☐	☐	☐	☐
Add annotations	☐	☐	☐	☐
Annotate as overlay	☐	☐	☐	☐
Open annotations based on security attributes	☐	☐	☐	☐
Markup tools available in document management and workflow components	☐	☐	☐	☐
Insert notes as reminders or notices	☐	☐	☐	☐

What markup tools are included in your package? Are they proprietary or 3rd party?

What types of documents can you use the markup tools on?

8.1.1.5   Document Search & Retrievals

8.1.1.5.1 Document Search

8.1.1.5.1.1 Browsing:

	Yes	No	Cust.	3rd
Overview or "outline" of available databases of information	☐	☐	☐	☐
Include profiles of files/documents	☐	☐	☐	☐
Table of contents provided	☐	☐	☐	☐
Direct pointing to an object in the outline view to display	☐	☐	☐	☐
Users can configure the outline view to specify - displayed attributes	☐	☐	☐	☐
Size of window	☐	☐	☐	☐

Describe the search engine included. (E.g.: Full text, Proprietary vs. 3rd party? name of 3rd party, etc.)

Are there additional browsing capabilities you would like to describe?

8.1.1.5.1.2 Query types:

	Yes	No	Cust.	3rd
Document name	☐	☐	☐	☐
Author(s)	☐	☐	☐	☐
Name with wild card characters	☐	☐	☐	☐
Date range	☐	☐	☐	☐
Descriptions	☐	☐	☐	☐
File types	☐	☐	☐	☐
Keywords	☐	☐	☐	☐
By check in or check out status by user	☐	☐	☐	☐
Boolean	☐	☐	☐	☐
Relationships between documents (e.g.: book to sections)	☐	☐	☐	☐
Filling out an "index card"	☐	☐	☐	☐
Arithmetic logic	☐	☐	☐	☐
User-defined keywords	☐	☐	☐	☐
Any meta-data fields	☐	☐	☐	☐
Any index fields	☐	☐	☐	☐
Launch from application that created the document (File, Open menu)	☐	☐	☐	☐

Are there additional query capabilities you would like to describe?

8.1.1.5.1.3 Content-based search tools:

	Yes	No	Cust.	3rd
Full text search	☐	☐	☐	☐
Full text search of graphical documents	☐	☐	☐	☐
Using ANSI standard thesaurus	☐	☐	☐	☐
Add to thesaurus	☐	☐	☐	☐
Root expansions or stemming (search for submit and find submitted/submitting too)	☐	☐	☐	☐
Phrase specification	☐	☐	☐	☐
Proximity searches (e.g.: Dallas within 10 words of Kennedy)	☐	☐	☐	☐
Wildcard searches (use "wildcard characters" such as * to make search less contingent upon spelling or grammar - standard* or ask for desc and get description)	☐	☐	☐	☐
Fuzzy searches - close to search work but not an exact match - used with OCR due to difficulties in recognition	☐	☐	☐	☐
Soundex (search for *photograpf* and find *photograph*)	☐	☐	☐	☐
Pattern matching (find misspelled words)	☐	☐	☐	☐
Synonym files (search for *car* and find *automobile*)	☐	☐	☐	☐
Add to synonym file	☐	☐	☐	☐

Are there additional content-based search capabilities you would like to describe?

8.1.1.5.1.4 Location based (limiting or targeting scope):

	Yes	No	Cust.	3rd
Default scope	☐	☐	☐	☐
Order of libraries, cabinets, or folders	☐	☐	☐	☐
Single library	☐	☐	☐	☐
Cross library	☐	☐	☐	☐
By cabinet	☐	☐	☐	☐
By folder	☐	☐	☐	☐
Internet web sites (user specifies URL - Uniform Resource Locator)	☐	☐	☐	☐
Prioritize order of locations	☐	☐	☐	☐

Are there additional location based search capabilities you would like to describe?

8.1.1.5.1.5 Search Utilities:

	Yes	No	Cust.	3rd
Save search criteria for reuse	☐	☐	☐	☐
Use macros to define search	☐	☐	☐	☐
Graphically define search	☐	☐	☐	☐
Print search criteria	☐	☐	☐	☐
Provide search templates to complete	☐	☐	☐	☐
Provide pre-defined searches	☐	☐	☐	☐
Create pre-defined searches for multiple users	☐	☐	☐	☐
Apply further criteria to results of a search	☐	☐	☐	☐
Modify stored searches	☐	☐	☐	☐
Default to search against latest version of material with option to search all versions	☐	☐	☐	☐
Set "bookmarks" on frequently retrieved documents	☐	☐	☐	☐
Present new additions based on previous search criteria (profile)	☐	☐	☐	☐
Undo current search a step at a time	☐	☐	☐	☐
Abort lengthy search	☐	☐	☐	☐
Display search history	☐	☐	☐	☐
Combine SQL query with content based	☐	☐	☐	☐
"Permanent" file folders – save search criteria into folders for frequently accessed documents	☐	☐	☐	☐
Create a folder as a "stored query"	☐	☐	☐	☐

Are there additional search utilities you would like to describe?

8.1.1.5.1.6 Search Results:

	Yes	No	Cust.	3rd
Let user know search is being processed:	☐	☐	☐	☐
Hourglass	☐	☐	☐	☐
% complete	☐	☐	☐	☐
Other methods	☐	☐	☐	☐
Summary screen of searches "hit" including total # and titles	☐	☐	☐	☐
Present in relevance ranked hits	☐	☐	☐	☐
Page down through pages of hits	☐	☐	☐	☐
Sort pages of hits	☐	☐	☐	☐
"hit lists"	☐	☐	☐	☐
Print summary screen	☐	☐	☐	☐
Dynamic linked (URL's)	☐	☐	☐	☐
Converted to HTML list	☐	☐	☐	☐
Ranked or color coded	☐	☐	☐	☐
Display information about the document	☐	☐	☐	☐
Abstract	☐	☐	☐	☐
# of pages	☐	☐	☐	☐
1st page	☐	☐	☐	☐
Keywords	☐	☐	☐	☐
Configurable display of information (by user requirements)	☐	☐	☐	☐
Automatic updates to hit list	☐	☐	☐	☐

Are there additional search results presentation capabilities you would like to describe?

8.1.1.5.2 Retrievals:

	Yes	No	Cust.	3rd
From list of most recently used documents	☐	☐	☐	☐
Set "bookmarks" on frequently retrieved documents	☐	☐	☐	☐
Access material directly from summary/retrieval screen	☐	☐	☐	☐
Launch applications as needed from summary/retrieval screen	☐	☐	☐	☐
Retrieve for editing (check out)	☐	☐	☐	☐
Notify user if already checked out (read only)	☐	☐	☐	☐
Transfer entire document to users desktop or as defined by system administrator	☐	☐	☐	☐
Matches in material (full text retrieval) are highlighted	☐	☐	☐	☐
Jump from one match to the next in material	☐	☐	☐	☐
Jump from one piece of material to next without returning to summary screen	☐	☐	☐	☐
# of documents viewed simultaneously	☐	☐	☐	☐
# of documents open simultaneously	☐	☐	☐	☐
View first page only as result of search	☐	☐	☐	☐
Ability to retrieve related information	☐	☐	☐	☐
Physical location of documents and volume management transparent to users	☐	☐	☐	☐

Are there additional retrieval capabilities you would like to describe?

Is your product shipped with any browsers?

Are any proprietary browsers prerequisite for viewing document types?

Please list browsers needed and document types they are needed for.

What browsing and retrieval capabilities differentiate you from your competitors?

8.1.1.5.3 Viewing

What viewing tools are provided and supported by your product? Please list any proprietary and 3rd party systems

8.1.1.5.3.1 Viewing Capabilities:

(Specify for image and for native application created documents)

	Yes	No	Cust.	3rd	Images Only	Native Apps Also
Enlarge specific areas	☐	☐	☐	☐	☐	☐
Rotate	☐	☐	☐	☐	☐	☐
Rotate 2 sided documents	☐	☐	☐	☐	☐	☐
Two pages of one document at once	☐	☐	☐	☐	☐	☐
Overlap documents to compare	☐	☐	☐	☐	☐	☐
2 documents side by side to compare	☐	☐	☐	☐	☐	☐
Sizes:	☐	☐	☐	☐	☐	☐
A4, B, C, E, others	☐	☐	☐	☐	☐	☐
Jump to pages in a document	☐	☐	☐	☐	☐	☐
Go to last page	☐	☐	☐	☐	☐	☐
Go to first page	☐	☐	☐	☐	☐	☐
Previous page	☐	☐	☐	☐	☐	☐
Next page	☐	☐	☐	☐	☐	☐
OCR portions of an image document to a clipboard for pasting into another application	☐	☐	☐	☐	☐	☐
Standard cut, copy, and paste functions apply (with security)	☐	☐	☐	☐	☐	☐
Browse page to page	☐	☐	☐	☐	☐	☐
Pan & zoom capabilities	☐	☐	☐	☐	☐	☐
Size window	☐	☐	☐	☐	☐	☐
Screen print	☐	☐	☐	☐	☐	☐
Page or selection print	☐	☐	☐	☐	☐	☐
Document print	☐	☐	☐	☐	☐	☐
Full text search within document	☐	☐	☐	☐	☐	☐
Others	☐	☐	☐	☐	☐	☐

	Yes	No	Cust.	3rd	Images Only	Native Apps Also
View in native format through application that created document	☐	☐	☐	☐	☐	☐
Object content without checkout	☐	☐	☐	☐	☐	☐
Copy contents or selected contents into clipboard	☐	☐	☐	☐	☐	☐
Multiple windows for multiple documents Tiling multiple windows	☐	☐	☐	☐	☐	☐
First page and remaining pages sent to Random Access Memory cache for use by workstation	☐	☐	☐	☐	☐	☐
Current location information (e.g: level of access, search criteria in place, material currently being accessed)	☐	☐	☐	☐	☐	☐
"watermark" and messages on output definable by index field values or material status (e.g: PE stamp on CAD drawings)	☐	☐	☐	☐	☐	☐
Color	☐	☐	☐	☐	☐	☐
Highlights	☐	☐	☐	☐	☐	☐
Automatically launch application to enable viewing if not enables	☐	☐	☐	☐	☐	☐
Same document by more than one user concurrently	☐	☐	☐	☐	☐	☐
Annotations (DM system generated)	☐	☐	☐	☐	☐	☐
Hypertext navigation within display	☐	☐	☐	☐	☐	☐
All types of documents within an object (cross-application capability - graphics, text, etc.)	☐	☐	☐	☐	☐	☐
Thumbnail sketches (miniature versions of full page images to allow users to browse rapidly through pages)	☐	☐	☐	☐	☐	☐
Multiple thumbnails at once	☐	☐	☐	☐	☐	☐
Progressive decompression (image files – when pan and zooming, treat image as "database" and only move to high resolution version of tile being zoomed in on)	☐	☐	☐	☐	☐	☐

8.1.1.5.3.2 View Data Formats

	Using Packaged Browser	Need Proprietary Browser			
	Yes	Cust.	No	3rd	Name of Browser
AFP	☐	☐	☐	☐	☐
Applets	☐	☐	☐	☐	☐
ASCII	☐	☐	☐	☐	☐
BMP (Windows Bitmap)	☐	☐	☐	☐	☐
CALIS	☐	☐	☐	☐	☐
CALS raster	☐	☐	☐	☐	☐
CALS Type I (untiled)	☐	☐	☐	☐	☐

	Using Packaged Browser	Need Proprietary Browser			Name of Browser
	Yes	Cust.	No	3rd	
CALS Type II (tiled)	☐	☐	☐	☐	☐
CDR (Corel draw)	☐	☐	☐	☐	☐
CGM (generic and Unigraphics)	☐	☐	☐	☐	☐
DCI CCITT III (2d)	☐	☐	☐	☐	☐
EPS	☐	☐	☐	☐	☐
G1,2,3,4	☐	☐	☐	☐	☐
GIF (Compu Serv Graphic Bitmap)	☐	☐	☐	☐	☐
HPGL	☐	☐	☐	☐	☐
HTML	☐	☐	☐	☐	☐
ICO (Windows Icon)	☐	☐	☐	☐	☐
IDEF	☐	☐	☐	☐	☐
IMG (Gem Bitmap Format)	☐	☐	☐	☐	☐
Intergraph CCITT IV	☐	☐	☐	☐	☐
Internet UUE	☐	☐	☐	☐	☐
JPEG	☐	☐	☐	☐	☐
JPIF	☐	☐	☐	☐	☐
MAC (Mac Paint Format)	☐	☐	☐	☐	☐
MPEG	☐	☐	☐	☐	☐
PCD	☐	☐	☐	☐	☐
PCX (Paintbrush)	☐	☐	☐	☐	☐
PIC (Lotus PIC)	☐	☐	☐	☐	☐
PICT	☐	☐	☐	☐	☐
PICT	☐	☐	☐	☐	☐
PDF (Portable Document Formats)	☐	☐	☐	☐	☐
PS (Post Script)	☐	☐	☐	☐	☐
Raster reference files	☐	☐	☐	☐	☐
RLE (Reduced Length Encryption)	☐	☐	☐	☐	☐
RTF (Rich text format)	☐	☐	☐	☐	☐
SDW (Ami graphics)	☐	☐	☐	☐	☐
SGML	☐	☐	☐	☐	☐
TARGA (Targa format)	☐	☐	☐	☐	☐
TIFF	☐	☐	☐	☐	☐
TIFF CCITT III (2d)	☐	☐	☐	☐	☐
TIFF CCITT IV (striped)	☐	☐	☐	☐	☐
TIFF CCITT IV (tiled)	☐	☐	☐	☐	☐
TIFF CCITT IV (untiled)	☐	☐	☐	☐	☐
TIFF Uncompressed	☐	☐	☐	☐	☐
Vector file classes	☐	☐	☐	☐	☐
WMF (Windows Metafile)	☐	☐	☐	☐	☐

	Using Packaged Browser	Need Proprietary Browser			
	Yes	Cust.	No	3rd	Name of Browser
WPG (WordPerfect bitmapped format)	☐	☐	☐	☐	☐
WPG (WordPerfect vector format)	☐	☐	☐	☐	☐
Xerox DJDF/Metacode	☐	☐	☐	☐	☐
XML	☐	☐	☐	☐	☐

Please describe the type of integration used (e.g: DDE, OLE, OCX, etc.) under custom integration:

8.1.1.6 Document Security

8.1.1.6.1 Security Configuration

(Preventing unauthorized use of resources including applications, documents, folders, etc.)

8.1.1.6.1.1 Levels at which security can be implemented:

	Yes	No	Cust.	3rd
Application layer	☐	☐	☐	☐
Database layer	☐	☐	☐	☐
Functions	☐	☐	☐	☐
Index	☐	☐	☐	☐
Library(collection of folders)	☐	☐	☐	☐
Folder	☐	☐	☐	☐
Specific document	☐	☐	☐	☐
Versions of a document	☐	☐	☐	☐
Notes/annotations	☐	☐	☐	☐
Levels of notes/annotations	☐	☐	☐	☐
Page	☐	☐	☐	☐
Screen	☐	☐	☐	☐
Field	☐	☐	☐	☐
Department	☐	☐	☐	☐
Document type	☐	☐	☐	☐
Document status	☐	☐	☐	☐
Web site	☐	☐	☐	☐
Operating system level	☐	☐	☐	☐
Document lifecycle	☐	☐	☐	☐
Logon Address	☐	☐	☐	☐
User name/ID	☐	☐	☐	☐
User type or role	☐	☐	☐	☐
User group	☐	☐	☐	☐
System functions	☐	☐	☐	☐
Password privileges (other than logon)	☐	☐	☐	☐

	Yes	No	Cust.	3rd
Internet created documents	☐	☐	☐	☐
Internet transmitted documents	☐	☐	☐	☐

Are there additional security levels you would like to describe?

8.1.1.6.1.2 Actions Allowed or Disallowed through Security Level:

	Yes	No	Cust.	3rd
No actions (restrict all)	☐	☐	☐	☐
Scan	☐	☐	☐	☐
Index	☐	☐	☐	☐
OCR Edit	☐	☐	☐	☐
Create	☐	☐	☐	☐
Query	☐	☐	☐	☐
Retrieve	☐	☐	☐	☐
View	☐	☐	☐	☐
Modify Text	☐	☐	☐	☐
Copy Text	☐	☐	☐	☐
Save	☐	☐	☐	☐
Save as new version	☐	☐	☐	☐
Change the documents' status	☐	☐	☐	☐
Change the documents' index	☐	☐	☐	☐
Print	☐	☐	☐	☐
Fax	☐	☐	☐	☐
Route	☐	☐	☐	☐
Export	☐	☐	☐	☐
Delete	☐	☐	☐	☐
Approve	☐	☐	☐	☐
Linking an object	☐	☐	☐	☐
Others*	☐	☐	☐	☐

*Please specify:

Are there any limits to combinations of actions to control (permit, disallow, or limit) for a given security level or individual?

Are there additional actions allowed through security levels that you would like to describe?

8.1.1.6.1.3 Methods used to define/implement security:

	Yes	No	Cust.	3rd
Passwords	☐	☐	☐	☐
Encryption	☐	☐	☐	☐
Prompt for new password after elapsed time	☐	☐	☐	☐

	Yes	No	Cust.	3rd
Deny access after # of failed log on attempts or resource access attempts	☐	☐	☐	☐
User changes passwords	☐	☐	☐	☐
Administrator must change passwords	☐	☐	☐	☐
Sign-on through non-display field	☐	☐	☐	☐
Prevent users from putting their passwords in a batch file for auto logon	☐	☐	☐	☐
Require a certain # of characters	☐	☐	☐	☐
Prevent logons at multiple locations by same user	☐	☐	☐	☐
Logout after unattended length of time	☐	☐	☐	☐
Generalized Security Service Application Programming Interface (GSSAPI) provided	☐	☐	☐	☐
Symmetric or "Data Encryption Standard" DES used	☐	☐	☐	☐
Asymmetric or public key encryption provided	☐	☐	☐	☐
Encrypted storage of documents	☐	☐	☐	☐
Digital signatures supported? How?	☐	☐	☐	☐
Virus control/virus scan launch prior to storing documents	☐	☐	☐	☐
Automatic logoff (time triggered)	☐	☐	☐	☐
Data storage encryption capabilities	☐	☐	☐	☐
Access rights defined in databases of other systems accessed not overridden (e.g: CAD)	☐	☐	☐	☐
Authority to change/delete material data is configurable at database level	☐	☐	☐	☐
Material deletion only allowed consistent with Corporate retention guidelines	☐	☐	☐	☐
Only able to access DM library is through DM system	☐	☐	☐	☐

Does your system integrate with platform security systems such as Novell, Sun, others? Describe how and list packages you have integrated with.

Does your system integrate with any global (multi-platform) security products? Name them and describe how integration is achieved.

Are there additional security implementation methods you would like to describe?

8.1.1.6.1.4 Types of access to documents (for all above levels):

	Yes	No	Cust.	3rd
No access and "can't see existence" of document in library	☐	☐	☐	☐
No access to document but listed	☐	☐	☐	☐
Read only (content)	☐	☐	☐	☐
Read only (annotations)	☐	☐	☐	☐
Read only (content and annotations)	☐	☐	☐	☐
Markup only (not permanently altered - "red pen")	☐	☐	☐	☐
Modify (parts of document and potentially at different stages of lifecycle)	☐	☐	☐	☐
Insert (documents into repository)	☐	☐	☐	☐
Delete (documents from repository)	☐	☐	☐	☐
Creator	☐	☐	☐	☐
Power user (full access to all work items & classes inherited from them)	☐	☐	☐	☐
Data entry user - add view & edit functions	☐	☐	☐	☐

	Yes	No	Cust.	3rd
Edit user - view and edit functions	☐	☐	☐	☐
View user - copy & view functions	☐	☐	☐	☐
View document in search "hit list" only, no other access	☐	☐	☐	☐
Administrator (perform any action on any object of any class)	☐	☐	☐	☐

Are there additional types of access to documents that you would like to describe?

8.1.1.6.1.5 Defining or Modifying Access:

	Yes	No	Cust.	3rd
Security changes updated real-time?	☐	☐	☐	☐
Batch?	☐	☐	☐	☐
Administrator level allowed to change only	☐	☐	☐	☐
Set by creator of document	☐	☐	☐	☐
Set by user classes or groups to save time	☐	☐	☐	☐
Set by user	☐	☐	☐	☐
Set by specific document (at time of creation)	☐	☐	☐	☐
Automatically by index/document type	☐	☐	☐	☐

Describe how to set access on a document or document type in your system.

Are there additional defining or modifying access features you would like to describe?

8.1.1.6.2 Audit Logs:

8.1.1.6.2.1 Capture

	Yes	No	Cust.	Indicate Report/Record or both	3rd
Security changes audit log	☐	☐	☐	☐	☐
Time/date stamp and user ID/terminal ID on all transactions	☐	☐	☐	☐	☐
Who is responsible for creation/modification and what was done	☐	☐	☐	☐	☐
Who logged comments with audit trail of what was done	☐	☐	☐	☐	☐
HTML conversion tracking	☐	☐	☐	☐	☐
Changes to access rights	☐	☐	☐	☐	☐
Details to view or study lifecycle of document	☐	☐	☐	☐	☐
Details to implement chargeback process	☐	☐	☐	☐	☐
Audit log detail in relational database	☐	☐	☐	☐	☐
Output logs	☐	☐	☐	☐	☐
Documents moving or being copied to libraries	☐	☐	☐	☐	☐
All archived/deleted material, when, by who, where	☐	☐	☐	☐	☐
Changes in process (e.g.: workflow, routing, approval rules)	☐	☐	☐	☐	☐
Use of markup/annotation tools on documents	☐	☐	☐	☐	☐

	Yes	No	Cust.	Indicate Report/Record or both	3rd
Billing and Accounting Information:	☐	☐	☐	☐	☐
Keystrokes per document	☐	☐	☐	☐	☐
Document creation time	☐	☐	☐	☐	☐
Edit time per document	☐	☐	☐	☐	☐
Pages printed per document	☐	☐	☐	☐	☐
Print time	☐	☐	☐	☐	☐
User sign-on/sign-off	☐	☐	☐	☐	☐

Audit

	Yes	No	Cust.	Indicate Report/Record or both	3rd
All system functions	☐	☐	☐	☐	☐
By user or Location ID	☐	☐	☐	☐	☐
Integrated with workflow for routing (e.g: security breaks)	☐	☐	☐	☐	☐
Notify of atypical activity (volume to library, etc.)	☐	☐	☐	☐	☐
Report current access rights	☐	☐	☐	☐	☐
Report accesses to material (e.g: who, when)	☐	☐	☐	☐	☐
Changes to database or libraries	☐	☐	☐	☐	☐
Based on chronological usage patterns, approval levels used, change activities	☐	☐	☐	☐	☐

Are there additional audit capabilities you would like to describe?

8.1.2   WORKFLOW FUNCTIONALITY

8.1.2.1   Defining Workflow

What tools is provided to help users, managers, or administrators to develop workflow? Can workflow be graphically designed and simulated prior to implementation? Can nested workflow be defined? What skill set is required to define workflow?

8.1.2.1.1   Business Process Re-engineering Capabilities

What methodology/product is used for business process design (Please specify):

Are there published APIs that can integrate the workflow product with third party modeling and BPR products:

Yes	No	Cust.	3rd
☐	☐	☐	☐

Does the workflow product have the following BPR capabilities?

	Yes	No	Cust.	3rd
Ability to learn	☐	☐	☐	☐
Activity-based costing	☐	☐	☐	☐

	Yes	No	Cust.	3rd
Critical-path analysis	☐	☐	☐	☐
Process flow modeling	☐	☐	☐	☐
Process simulation	☐	☐	☐	☐
What-if modeling	☐	☐	☐	☐
Workload balancing	☐	☐	☐	☐

8.1.2.1.2 Development Tools and Capabilities

What development tools or capabilities are available:

	Yes	No	Cust.	3rd
Graphical user interface for defining workflow	☐	☐	☐	☐
Graphic forms designer	☐	☐	☐	☐
On-line help for development tools	☐	☐	☐	☐
Library of starter objects	☐	☐	☐	☐
Library of workflow templates	☐	☐	☐	☐
Test environment for debugging workflow logic	☐	☐	☐	☐

What development languages can be used (e.g. fourth generation languages, macros, C++, and Visual Basic (Please specify):

Which workflow elements can be reused:

	Yes	No	Cust.	3rd
Modules	☐	☐	☐	☐
Steps	☐	☐	☐	☐
Tasks	☐	☐	☐	☐
Others*				

*Please specify:

Workflow can be defined by:

	Yes	No	Cust.	3rd
End-users	☐	☐	☐	☐
Programmers	☐	☐	☐	☐

8.1.2.2 Receiving Work

What kind of inbox functionality does the product offer? This criteria measures how the workflow product presents work to users.

How is work received:

	Yes	No	Cust.	3rd
Work is placed into an inbox for individual users	☐	☐	☐	☐
Work is placed in a coordinator inbox for distribution	☐	☐	☐	☐
User is notified of the new work	☐	☐	☐	☐
User can receive work with logging into the system	☐	☐	☐	☐
Checklist/fickler is sent to user to inform of issues	☐	☐	☐	☐

Work can be allocated by:

	Yes	No	Cust.	3rd
Last-in/First-out (LIFO) process	☐	☐	☐	☐
First-in/First-out (FIFO) process	☐	☐	☐	☐

Prioritization of received work can be by:

	Yes	No	Cust.	3rd
Date work was created	☐	☐	☐	☐
Due Date of work	☐	☐	☐	☐
Type of work	☐	☐	☐	☐
Originator	☐	☐	☐	☐
Supervisor	☐	☐	☐	☐
Reviewer	☐	☐	☐	☐

Automatic notification of issues to supervisor/manager via standard messaging:

Yes	No	Cust.	3rd
☐	☐	☐	☐

Are any foldering capabilities available?

Yes	No	Cust.	3rd
☐	☐	☐	☐

8.1.2.3   Routing Work

The workflow management component ensures the work item is passed to the appropriate user or application in the proper order depending on the specified rules.

How is Work Routed?

	Yes	No	Cust.	3rd
Sequential routing (serial or linear)	☐	☐	☐	☐
Rules-based routing (conditional)	☐	☐	☐	☐
Role-based routing	☐	☐	☐	☐
Ad-hoc routing	☐	☐	☐	☐
Role/user directed routing	☐	☐	☐	☐
Group/Distribution list directed routing	☐	☐	☐	☐
Supervisor directed routing	☐	☐	☐	☐
Parallel routing (single object with multiple paths)	☐	☐	☐	☐
Iterative routing (looping through steps until completed	☐	☐	☐	☐
Automated routing	☐	☐	☐	☐

Routing can be performed by:

	Yes	No	Cust.	3rd
E-mail	☐	☐	☐	☐
Groupware	☐	☐	☐	☐
Internet	☐	☐	☐	☐
Others*	☐	☐	☐	☐

*Please specify:

Routing can be performed by:

	Yes	No	Cust.	3rd
User name	☐	☐	☐	☐
Userid	☐	☐	☐	☐
Role	☐	☐	☐	☐
Distribution list	☐	☐	☐	☐

Can documents be combined for routing:

Yes	No	Cust.	3rd
☐	☐	☐	☐

8.1.2.4   Review and Approval

8.1.2.4.1   Review Work

8.1.2.4.1.1   Review Work Capabilities

	Yes	No	Cust.	3rd
Review initiator can view comments	☐	☐	☐	☐
Review initiator can accept or reject comments and notify all on the review list	☐	☐	☐	☐
Able to delegate review authority	☐	☐	☐	☐
Automatically ensure approval/release criteria is met	☐	☐	☐	☐
Manually ensure approval/release criteria is met	☐	☐	☐	☐
Comments cannot be edited or deleted once entered	☐	☐	☐	☐
Send to external reviewer	☐	☐	☐	☐

8.1.2.4.1.2 Group Review Capabilities:

	Yes	No	Cust.	3rd
More than one person is able to comment at once	☐	☐	☐	☐
Able to define audience for review comments	☐	☐	☐	☐
Able to link comments	☐	☐	☐	☐
Automatically notify review group of comments	☐	☐	☐	☐
Automatically reviewer of receipt	☐	☐	☐	☐
Automatically remind reviewer	☐	☐	☐	☐

8.1.2.4.2 Approval Work

8.1.2.4.2.1 Approval Work Capabilities:

	Yes	No	Cust.	3rd
Who approved	☐	☐	☐	☐
Date of approval	☐	☐	☐	☐
Time of approval	☐	☐	☐	☐
Comments	☐	☐	☐	☐

	Yes	No	Cust.	3rd
Review group	☐	☐	☐	☐
Final approval name	☐	☐	☐	☐

8.1.2.4.2.2 Other Approval Capabilities:

	Yes	No	Cust.	3rd
Final approval results in new version of document	☐	☐	☐	☐
Approved documents can be blocked from modification	☐	☐	☐	☐
Document status is automatically changed from "in review" to "final"	☐	☐	☐	☐
Automatically make approved documents available through the Internet	☐	☐	☐	☐

8.1.2.4.3 Electronic Signatures

Are Electronic Signatures available?

Yes	No	Cust.	3rd
☐	☐	☐	☐

Do electronic signatures have a date/time stamp?

Yes	No	Cust.	3rd
☐	☐	☐	☐

8.1.2.5 Rules & Actions

Can the workflow product launch external processes (through COBOL and Visual Basic)::

Yes	No	Cust.	3rd
☐	☐	☐	☐

Work queues can be reassigned:

	Yes	No	Cust.	3rd
Automatically	☐	☐	☐	☐
Manually	☐	☐	☐	☐

Actions can be triggered based on:

	Yes	No	Cust.	3rd
Time based rules	☐	☐	☐	☐
Event based rules	☐	☐	☐	☐
Volume based rules	☐	☐	☐	☐
User specified rules	☐	☐	☐	☐

8.1.2.5.1 Administrative & Management Functionality

8.1.2.5.1.1 Workflow administrator controls:

	Yes	No	Cust.	3rd
Who participates in a workflow application	☐	☐	☐	☐
Security access	☐	☐	☐	☐
Dynamic definition of process flow and rules	☐	☐	☐	☐
Setting task deadlines	☐	☐	☐	☐
Historical tracking of business processes and event monitoring	☐	☐	☐	☐

Load balancing of work queues	☐	☐	☐	☐
Distribution of work from one user to another	☐	☐	☐	☐

Are there additional administrator's tools and capabilities ?

8.1.2.5.1.2 Manager of work process can:

	Yes	No	Cust.	3rd
View status of the process	☐	☐	☐	☐
Modify/stop process during its execution	☐	☐	☐	☐
Manually prioritize processes and tasks	☐	☐	☐	☐
View subordinate's queue and workload	☐	☐	☐	☐
Change a subordinate's queue and workload	☐	☐	☐	☐
Modify subordinate's work queue	☐	☐	☐	☐

Are there additional work process manager's tools and capabilities?

Specify expertise level or profile required to define or create roles and groups:

Specify expertise level or profile required to define or create rules:

Specify expertise level or profile required to define and manage security levels:

Specify reporting capabilities of the workflow product:

8.1.2.6 Workflow Security

8.1.2.6.1 Auditing Capabilities

Specify auditing capabilities of the workflow product:

Does the product support the following capabilities?

	Yes	No	Cust.	3rd
Deadline tracking	☐	☐	☐	☐
Dynamic views	☐	☐	☐	☐
Exception reporting	☐	☐	☐	☐
Management reporting	☐	☐	☐	☐
Management for remote users	☐	☐	☐	☐
Multi-server, multi-domain distributed workflows	☐	☐	☐	☐
Software distribution	☐	☐	☐	☐
Views of interdependent tasks	☐	☐	☐	☐

Workload balancing ☐ ☐ ☐ ☐

8.1.2.6.2 Security levels and monitoring access rights

	Read	Write	Delete	Create
End-user	☐	☐	☐	☐
Group	☐	☐	☐	☐
Object (e.g. folder, document, etc)	☐	☐	☐	☐
Role	☐	☐	☐	☐
Step	☐	☐	☐	☐
Task	☐	☐	☐	☐
Workflow application	☐	☐	☐	☐
Workflow initiator	☐	☐	☐	☐

Is encryption available for the following:

	Yes	No	Cust.	3rd
Passwords	☐	☐	☐	☐
Documents	☐	☐	☐	☐
Data	☐	☐	☐	☐

Is electronic form management available?

Yes	No	Cust.	3rd
☐	☐	☐	☐